

EDUCATION REQUIREMENTS OF COMMAND POSITIONS
IN THE U.S. BORDER PATROL

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Homeland Security Studies

by

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The opinions and conclusions expressed herein are those of the student author and do not necessarily represent the views of the U.S. Army Command and General Staff College or any other governmental agency. (References to this study should include the foregoing statement.)

ABSTRACT

EDUCATION REQUIREMENTS OF COMMAND POSITIONS IN THE U.S.
BORDER PATROL, by Julio C. Peña, 129 pages.

The size and complexity of the U.S. Border Patrol (USBP) is dramatically different today than it was only two decades ago. Whereas the USBP was traditionally focused on enforcement of immigration and customs laws, after 9-11 it adopted an all-threats approach to border security with the primary mission of preventing terrorists and terrorist weapons from entering the U.S. Today, the USBP includes more than twenty thousand agents and the requirements of its command positions are more challenging. Despite the increase in its mission complexity and new challenges faced by its personnel, the minimum college education requirements of USBP command positions have remained unchanged. This thesis examines the role that college education plays in supporting the goals and objectives of the USBP, the educational requirements of USBP positions, the role of college education in promotions, and USBP efforts to promote and advance college education. The purpose of this thesis is to help determine if the leadership needs of the USBP are best met with its current college education requirements or if the educational requirements for command positions should increase.

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Honor First.

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ACRONYMS

BPA	Border Patrol Agent
CBP	Customs and Border Protection
CPA	Chief Patrol Agent
DART	Dashboard Assessment Review Tool
DCPA	Deputy Chief Patrol Agent
DHS	Department of Homeland Security
DOD	Department of Defense
DPAIC	Deputy Patrol Agent in Charge
GS	General Schedule
HQ	Headquarters
NYPD	New York Police Department
OPM	Office of Personnel Management
PAIC	Patrol Agent in Charge
SBPA	Supervisory Border Patrol Agent
SES	Senior Executive Service
SOS	Special Operations Supervisor
U.S.	United States
USBP HQ	U.S. Border Patrol Headquarters, Washington, DC
USBP	U.S. Border Patrol

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CHAPTER 1

INTRODUCTION

The society that separates its scholars from its warriors will have its thinking done by cowards and its fighting done by fools.

— Thucydides

Background

Proponents of a college-educated police force have existed almost as long as the existence of the police profession itself. As far back as the 1800s, advocates of police reforms have called for a professional and college-educated police force.¹ In the United States (U.S.), government commissions have recommended increases in college education requirements for law enforcement organizations as well as increased standards for hiring and training.² Numerous studies have also been conducted to determine what effect, if any, education has on policing. In the last two decades, state, county, and local police organizations have continued to increase their minimum college education requirements for entry-level positions. Many federal law enforcement organizations already require a four-year college degree as a prerequisite for employment. Other professional organizations, such as the Department of Defense (DOD), require

¹ William Pelfrey Jr., “Precipitating Factors of Paradigmatic Shift in Policing: The Origin of the Community Policing Era,” in *Community Policing: Contemporary Readings*, 2nd ed., ed. G. Alpert and A. Piquero (Long Grove: Waveland Press, 2000), 81-100.

² The President’s Commission on Law Enforcement and Administration of Justice, *The Challenge of a Free Society* (Washington, DC: U.S. Government Printing Office, February 1967), 288.

completion of rigorous academic programs before advancement to organizational leadership positions.

Founded in 1924, the U.S. Border Patrol (USBP) is the mobile, uniformed law enforcement arm of Customs and Border Protection (CBP) responsible for securing U.S. borders between ports of entry. Since its inception, the USBP has undergone significant changes in size, organization, mission, strategy, operations, and tactics. The formation of the Department of Homeland Security (DHS) on 1 March 2003 merged almost two dozen government agencies from various federal departments, including the USBP, and introduced terrorism prevention into the USBP's mission. With more than 60,000 employees serving nationwide and overseas, CBP is the largest law enforcement agency within DHS. CBP's priority mission is to prevent terrorists and terrorist weapons from entering the U.S. and ensuring the security of our nation at America's borders and ports of entry.³

As the USBP changed, so did the requirements of its positions. The duties of the Border Patrol Agent (BPA) position today are more complex, challenging, and demanding than they were twenty years ago.⁴ In just over a decade, most BPA positions increased in grade, including those of most commanders.⁵ Throughout the organizational

³ U.S. Customs and Border Protection, "Careers," Official Website of Customs and Border Protection, accessed 15 October 2014, <http://www.cbp.gov/careers>.

⁴ U.S. Border Patrol, "Standardization of U.S. Border Patrol Sector and Station Structures," 25 May 2012, accessed 10 December 2014, <https://uconnect.cbpnet.cbp.dhs.gov/sites/OBP/Docs/Pages/Home.aspx>.

⁵ Ibid.

and personnel changes in the last 20 years, the minimum college education requirements for BPAs and USBP commander have remained unchanged.

There is ample evidence that education is considered strategically important by both the USBP and CBP. Advanced education opportunities are available for commanders and staff at the General Schedule (GS) grades of GS-13, GS-14, GS-15 as well as those in the Senior Executives Service (SES). College education is a criterion considered during the evaluation of candidates competing for advancement into supervisory and managerial positions, with college-educated candidates being assigned points commensurate with their level of academic education.

Additionally, the 2012-2016 Border Patrol Strategic Plan includes specific objectives to strengthen the USBP. These include investing in its people through advanced education, training, work experience, and developmental assignments (Objective 2.1); improving organizational structures, processes, systems, and doctrine (objective 2.4); and enhancing overall efficiency of the USBP (Objective 2.5).

This thesis seeks to examine if increasing the minimum college education requirements for USBP commanders could help the USBP achieve its strategic goals and objectives. Therefore, the primary question of this thesis is, “Should the USBP increase the minimum college education requirements for commanders?” The research and analysis conducted to answer this question will help determine if increasing minimum college education requirements for command positions could advance the strategic goals and objectives of the USBP as stated in its 2012-2016 Strategic Plan.

In addition, two important subordinate questions that relate to the primary question should also be answered. The first subordinate question is, “What effect, if any,

does a college education have on critical aspects of the law enforcement profession, particularly on performance?” A review of the literature in chapter 2 will help determine if college education affects the performance of law enforcement officers. The second subordinate question is, “Does the USBP promote college education within its ranks?” The answer to this question will provide information on what programs or initiatives, if any, the USBP currently has in place that support higher education within its ranks. An analysis of the current processes or systems used by the USBP to promote and advance education for commanders will be conducted in chapter 4 to answer this important question.

The answers to these questions and the information revealed in researching this thesis are significant. The mission assigned to the commanders of the USBP is monumental and can only be accomplished with the best-trained, educated, and organized leaders. The challenges faced by the USBP today are more diverse, complex, and challenging than ever before. It is critically important for USBP organizational and strategic leaders to possess the necessary knowledge, skills, and abilities to succeed in their mission of securing our borders.

Many factors can influence organizational effectiveness and efficiency in a professional organization but few are as influential as its leaders. In the USBP, the preparation and education of commanders is critical for the successful accomplishment of its goals and objectives. To this end, the current USBP strategy recognizes leader performance as an essential element and seeks to enhance organizational efficiency by

establishing results-driven measures of performance that hold the organization, and organizational leaders, to account.⁶

Assumptions

This research assumes that future congressional action will not reduce the number of USBP agents currently required by law and that the organizational structure, scope of command and control, and grade levels of USBP commanders will remain unchanged. This research also assumes that if Congressional funding permits, CBP as well as the USBP will continue to promote college education by maintaining current levels of funding and support for the programs and initiatives that currently exist (e.g. assignments to advanced military schools, joint efforts with border colleges, tuition assistance program, etc.).

Limitations

The research, analysis, and conclusions that will follow on later chapters are limited by the information available on the subject of the research. Ample literature is available on the effect of education on policing, including numerous large empirical studies on the effect of education on specific aspects of the law enforcement profession such as performance, use of force, conduct, use of sick leave, and job satisfaction, among others. However, although some of these studies are significant and include large representative samples, none has focused specifically on education in the USBP. Nevertheless, the limits imposed by the lack of USBP-specific studies do not negate the

⁶ U.S. Border Patrol, “2012-2016 Border Patrol Strategic Plan,” accessed 15 March 2015, http://www.cbp.gov/sites/default/files/documents/bp_strategic_plan.pdf, 27.

value of the existing data in determining the effect of education on fundamental aspects of the law enforcement profession. The lack of USBP-specific studies will not prevent the analysis conducted in later chapters from reaching a logical conclusion and making recommendations on whether the USBP should increase or maintain the minimum college education requirements for commanders.

Additionally, there are limits on the availability and type of USBP data regarding the education levels of USBP commanders. Some information on the education level of USBP Headquarters (USBP HQ), sector, and station commanders can be obtained through internal USBP websites available to DHS employees. However, the information is not always complete, especially at the station level of command. Additionally, there are limits on the information USBP can disclose regarding personnel hiring records, promotion lists, and other internal human resources records that contains personally identifiable information. Some of the data requested for use in this thesis could not be disclosed by the USBP due to limits on official use only and privacy concerns.

Delimitations

The principal subject of this thesis is education in the USBP. Therefore, although various components exist within CBP and within the DHS that perform law enforcement functions, the analysis in chapter 4 as well as the conclusions and recommendations made in chapter 5 are focused on the USBP. Additionally, the main question and subordinate questions of this thesis refer only to college education and not to training. For purposes of this thesis, college education refers to education provided by a regionally accredited college or university beyond the secondary level leading to a four-year degree. Training refers to learning actual skills and general information obtained through instruction,

practice, or experience on how to perform a task. In the context of law enforcement, whereas training is designed to teach officers or agents how to perform a task (e.g., arrests, seizures, pursuit driving, report writing, verbal judo, etc.), education is designed to learn why something is done (e.g., law, English composition, ethics, psychology, sociology, etc.). This thesis will focus on college education in the USBP and will not examine how basic or advanced training could support the strategic goals and objectives of the USBP.

Additionally, although the next chapter will review the available literature on the relationship between education and policing in supervisory, non-supervisory, and managerial positions, the analysis of subsequent chapters will focus on determining if minimum education requirements for USBP commanders should increase. The intent of the research is to explore the potential benefits and drawbacks that changes to college education requirements for station, sector, and USBP Headquarters (HQ) commanders could have, as these are the leaders largely responsible for the execution of the 2012-2016 Border Patrol Strategic Plan and for the security of our nation's borders.

Conclusion

Today's homeland security environment is challenging and includes more diverse, dangerous, organized, and capable threats than ever before. The threat posed by transnational criminal organizations, terrorism, weapons of mass effect, and human and narcotics trafficking place the USBP in a unique and important position to prevent their entry into the U.S. Organizationally, the USBP today is much larger than it was two decades ago and the requirements of its command positions are more demanding. To effectively mitigate the risks associated with border security, the USBP must leverage all

tools at its disposal to develop leaders who understand these diverse threats and who can formulate an appropriate whole-of-government response. A review of available literature on the effects of a college education on the law enforcement officer, a review of the history and current state of the USBP, and an analysis of the environment in which the USBP operates will help determine if the minimum college education requirements for key USBP organizational and strategic command positions should increase.

CHAPTER 2

LITERATURE REVIEW

In order to determine if the USBP should increase college education requirements for commanders, it is important to first understand the history, mission, and current organization of the USBP. A review of these subjects is beneficial for this study to establish a foundation that can be used in later chapters to conduct a proper analysis on whether the occupational requirements of USBP command positions have changed, and whether the USBP should increase the minimum college education requirements for these positions. This chapter will include an introduction of USBP history and mission, as well as its previous and current strategic plans. This information will provide the required facts and context for analysis in chapter 4, and subsequently for conclusions and recommendations in chapter 5.

This chapter will also review the available literature on the subject of education and policing, including some historical background as well as its effect on various measures of police performance. Fortunately, inquiries regarding the effect of education on policing are not new. Ample literature exists on the subject. An overview of the body of knowledge that exists in this subject will help determine if a correlation exists between education and law enforcement performance. In addition to a historical overview of the USBP, this chapter will summarize overall findings on what the available literature shows regarding the effect of education on police performance.

The U.S. Border Patrol

The USBP was officially established on 28 May 1924 through the Labor Appropriation Act of 1924 passed by the U.S. Congress in response to increasing illegal immigration.⁷ The Eighteenth Amendment to the U.S. Constitution went into effect on 16 January 1920, prohibiting the importation, transport, and manufacture or sale of alcoholic beverages in the U.S. Combined with the numerical limitations on immigration to the U.S. by the Immigration Acts of 1921 and 1924, prohibition renewed attention to U.S. border enforcement.⁸ Consequently, the USBP quickly grew to 450 mounted Patrol Inspectors.⁹

By 1932, the USBP operated under the authority of only two directors. One director was located in El Paso, Texas, and was in charge of the entire U.S.-Mexico border. The other was located in Detroit, Michigan, with oversight over the U.S.-Canada border. In 1940, the USBP grew to approximately 1,531 Patrol Inspectors.¹⁰ By 1992, the USBP reported 4,132 agents in its ranks. USBP Agents are responsible for patrolling more than 6,000 miles of Mexican and Canadian international land borders, and more

⁷ U.S. Customs and Border Protection, “Along U.S. Borders,” accessed 10 October 2014, <http://www.cbp.gov/border-security/along-us-borders>.

⁸ U.S. Customs and Border Protection, “Border Patrol History,” accessed 18 March 2015, <http://www.cbp.gov/border-security/along-us-borders/history>.

⁹ Ibid.

¹⁰ Ibid.

than 2,000 miles of coastal waters surrounding the Florida peninsula and the island of Puerto Rico.¹¹

The growth and expansion of the USBP in the 1990s was a direct result of Congressional concerns about illegal immigration, as well as an operational strategy of “Prevention Through Deterrence.”¹² The concept of the *Border Patrol Strategic Plan for 1994 and Beyond* consisted of bringing a decisive number of enforcement resources to bear in major entry corridors, increasing the number of agents on the line, and effectively using technology as an effective deterrent.¹³ Using this operational approach, the number of agents in the USBP more than doubled, increasing from 4,287 in 1994 to 10,819 in 2004.¹⁴

The attacks of 11 September 2001 led to the creation of DHS, a stand-alone, cabinet-level department that integrated twenty-two different federal departments and agencies into one unified department (see figure 1). With the merger, the U.S. Immigration and Naturalization Service, including the USBP, became part of CBP (see figure 2), the largest federal law enforcement agency in the U.S. today.

¹¹ U.S. Customs and Border Protection, “Along U.S. Borders.”

¹² Chad C. Haddal, RL32562, *Border Security: The Role of the U.S. Border Patrol* (Washington, DC: Congressional Research Service, 2010), accessed 15 April 2015, <https://www.fas.org/sgp/crs/homsec/RL32562.pdf>; U.S. Border Patrol, *U.S. Border Patrol Strategic Plan 1994 and Beyond* (1994), 6.

¹³ U.S. Border Patrol, *U.S. Border Patrol Strategic Plan 1994 and Beyond*, 6.

¹⁴ U.S. Customs and Border Protection, “Border Patrol Nationwide Staffing,” accessed 1 April 2015, http://www.cbp.gov/sites/default/files/documents/BP%20Staffing%20FY1992-FY2014_0.pdf.

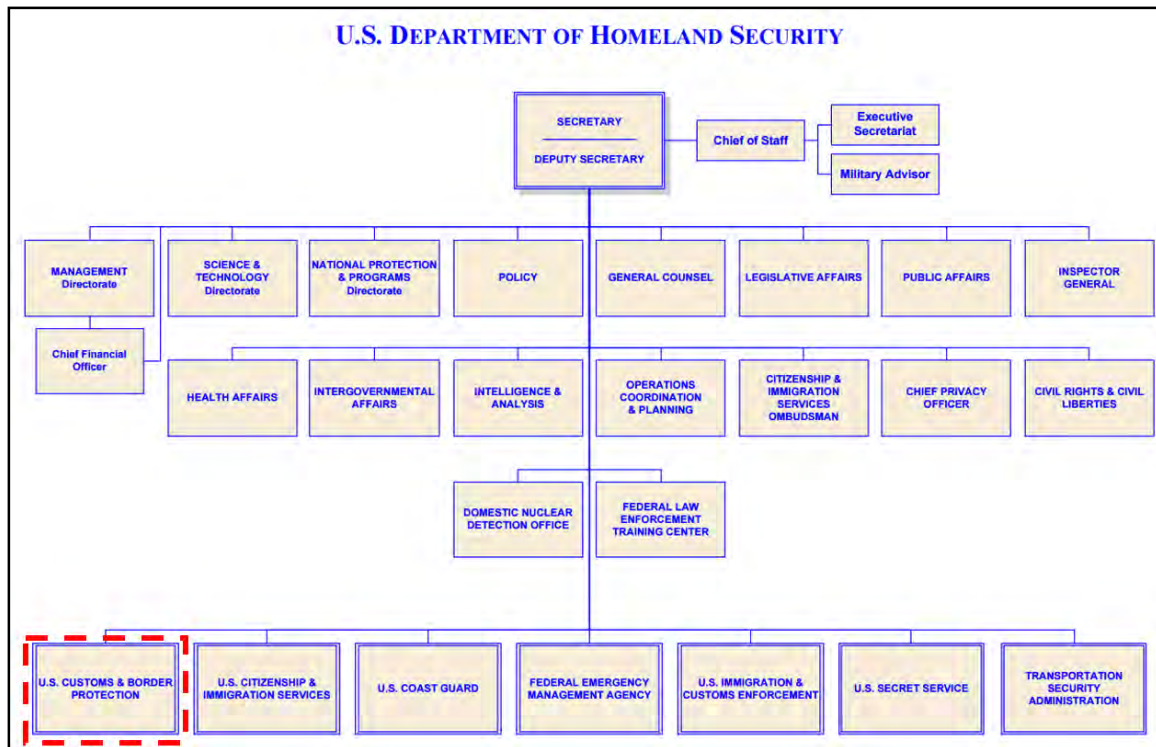


Figure 1. U.S. Department of Homeland Security Organization Chart

Source: U.S. Department of Homeland Security, “Organization Chart,” accessed 31 May 2015, <https://www.dhs.gov/xlibrary/assets/dhs-orgchart.pdf>.

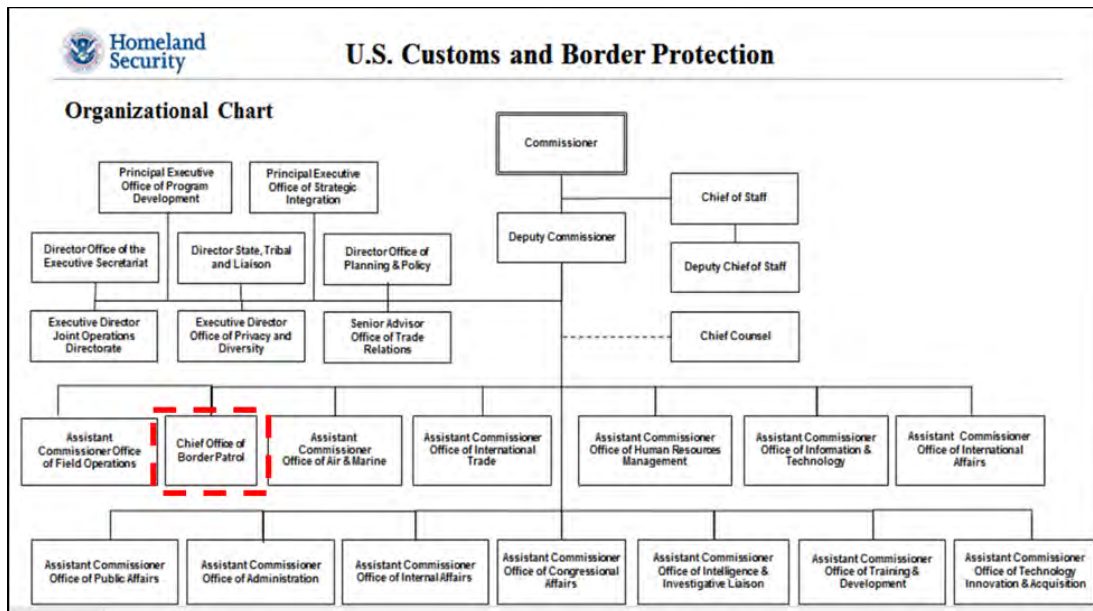


Figure 2. U.S. Customs and Border Protection Organization Chart

Source: U.S. Customs and Border Protection, “Organization Chart,” accessed 31 May 2015, <http://www.cbp.gov/sites/default/files/documents/CBP%20Org%20Chart%20Feb%202014.pdf>.

In 2004, shortly after the formation of DHS, a new National Border Patrol strategy was released. The birth of DHS in 2003 changed the primary focus of the USBP, and this change was reflected in the 2004 Strategy. Preventing terrorists and terrorist weapons from entering the U.S., including potential weapons of mass destruction, became the USBP’s priority mission under the 2004 strategy.¹⁵ To gain operational control of our nation’s borders, the new strategy required the proper mix of personnel,

¹⁵ U.S. Border Patrol, “2004 National Border Patrol Strategy,” September 2004, accessed 15 December 2014, http://www.au.af.mil/au/awc/awcgate/dhs/national_bp_strategy.pdf, 2.

equipment, technology, and border infrastructure as a key to success.¹⁶ In its new strategy, the USBP increased its reliance on unmanned aerial vehicles (UAV) and became the very first civilian law enforcement agency in the world to use UAVs to carry out a civilian law enforcement mission.¹⁷

Additionally, through the Intelligence Reform and Terrorism Prevention Act of 2004, which mandated the hiring of 2,000 additional BPAs each of the fiscal years 2006 through 2010, the USBP grew fivefold from a nationwide total of 4,028 agents in 1993 to 20,863 in 2014 (figure 3).¹⁸ During this time frame, its budget grew tenfold, from approximately \$363 million in 1993 to more than \$3.63 billion in 2014 (figure 4).¹⁹

¹⁶ U.S. Border Patrol, “2004 National Border Patrol Strategy,” 2.

¹⁷ Ibid.

¹⁸ Intelligence Reform and Terrorism Prevention Act of 2004, Public Law 108-458, *U.S. Statutes at Large* 118 (2004): 3638, codified at *U.S. Code* 50 (2004), § 401, accessed 29 May 2015, <http://www.intelligence.senate.gov/laws/pl108-458.pdf>.

¹⁹ U.S. Customs and Border Protection, “Budget History 1990-2014,” accessed 29 May 2015, http://www.cbp.gov/sites/default/files/documents/BP%20Budget%20History%201990-2014_0.pdf.

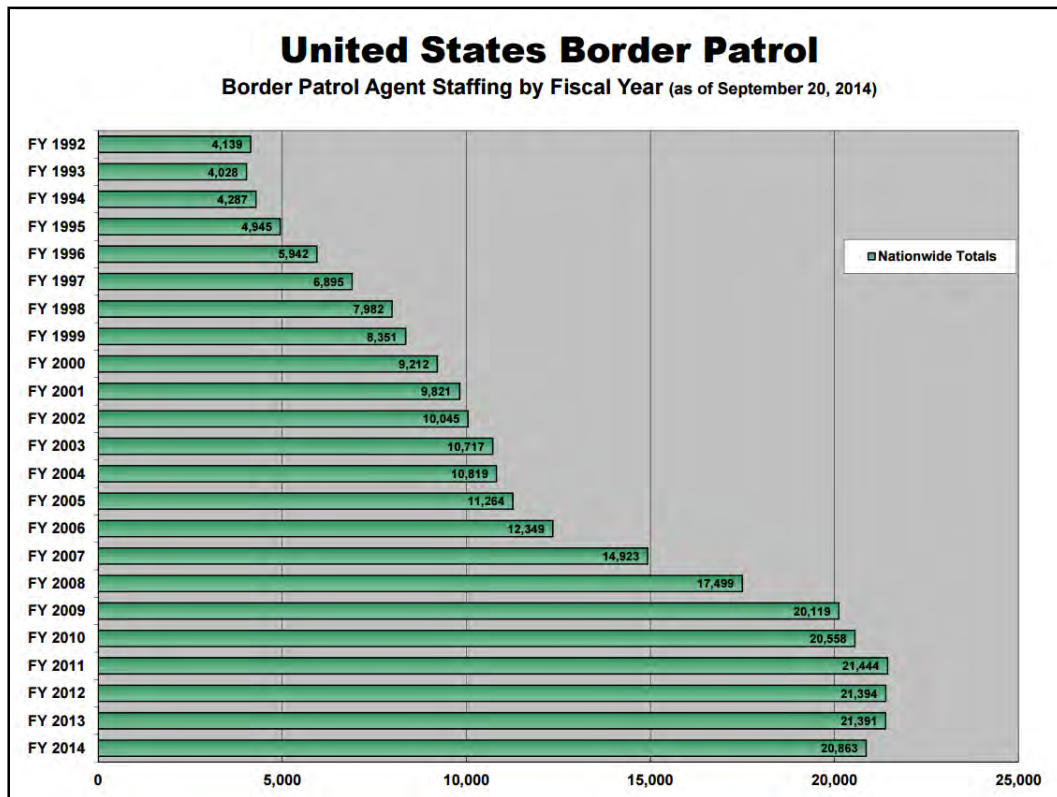


Figure 3. USBP Agent Staffing by Fiscal Year

Source: U.S. Customs and Border Protection, “Nationwide Staffing FY1992-FY2014,” accessed May 31, 2015, http://www.cbp.gov/sites/default/files/documents/BP%20Staffing%20FY1992-FY2014_0.pdf.



United States Border Patrol

Enacted Border Patrol Program Budget by Fiscal Year (Dollars in Thousands)

Fiscal Year	Budget Amount
1990	\$262,647
1991	\$298,718
1992	\$326,234
1993	\$362,659
1994	\$399,995
1995	\$451,535
1996	\$568,012
1997	\$717,389
1998	\$877,092
1999	\$916,780
2000	\$1,055,444
2001	\$1,146,463
2002	\$1,416,251
2003	\$1,515,080 *
2004	\$1,409,480 **
2005	\$1,524,960 ***
2006	\$2,115,268
2007	\$2,277,510 ****
2008	\$2,245,261
2009	\$2,656,055
2010	\$2,958,108
2011	\$3,549,295 *****
2012	\$3,530,994
2013	\$3,466,880
2014	\$3,634,855

* Includes carryover counter-terrorism funds from Fiscal Year 2002
 ** New funding structure related to the transfer of the Border Patrol Program to DHS/CBP
 *** Includes Fiscal Year 2005 Emergency Supplemental
 **** Includes Fiscal Year 2006 War Supplemental carryover funds
 ***** Includes Fiscal Years 2010 / 2011 Border Security Supplemental

Figure 4. USBP Fiscal Year Budget Statistics (FY 1990–FY 2014)

Source: U.S. Border Patrol, “Budget History 1990-2014,” accessed 31 May 2015, http://www.cbp.gov/sites/default/files/documents/BP%20Budget%20History%201990-2014_0.pdf.

After years of deploying personnel and resources to secure the borders, the USBP released a new strategic plan in 2012. The 2012-2016 Border Patrol Strategic Plan was

built on the foundation of the 2004 Strategy, utilizing the resource base built in the 1990s and 2000s to implement a risk-based approach. When the 2012-2016 Strategic Plan was released, the USBP included more than 21,000 agents in its ranks. The three pillars of the 2012-2016 Strategic Plan are (1) information and intelligence, (2) integration of operational plans and execution with international, federal, state, local, and tribal partners, and (3) a rapid response to the threats.²⁰ The two goals of the 2012-2016 Strategic Plan are securing America's borders and strengthening the USBP. To strengthen the USBP, the strategy uses a "multi-tiered approach that incorporates education, training, and work experience to maximize the effectiveness of USBP personnel," which includes leveraging advanced education for succession management and targeted placement.²¹

Organizationally, the USBP command structure has three main levels: USBP HQ, sectors, and stations. USBP HQ provides the strategic direction and oversight for the agency at the national level. It is located in Washington, DC and is led by the USBP Chief and Deputy Chief. Within USBP HQ, there are three directorates: the Law Enforcement Operations Directorate; the Strategic Planning, Policy, and Analysis Directorate; and the Mission Readiness Operations Directorate. The command positions of these three directorates will be reviewed in more detail in chapter 4.

²⁰ U.S. Customs and Border Protection, "2012-2016 Border Patrol Strategic Plan," 7.

²¹ Ibid., 22.



Figure 5. U.S. Border Patrol Headquarters Command Structure

Source: U.S. Border Patrol, Memorandum from USBP Chief Michael Fisher, “U.S. Border Patrol Organizational Changes,” 9 January 2015, accessed 15 April 2015, http://cbpnet/linkhandler/cbpnet/obp/administration/border_patrol_divisions/obp_org_chart.ctt/obp_org_chart.pdf.

Outside of USBP HQ, the U.S. is divided into twenty Border Patrol Sectors and one Border Patrol Academy. A sector is defined by a specific geographic area of responsibility, and includes a sector HQ and one or more stations. Each sector is led by a Chief Patrol Agent (CPA) and a Deputy Chief Patrol Agent (DCPA), who rely on the support of a staff of varying grades and sizes to provide oversight over a variety of local programs and functions. To distinguish between sector and USBP HQ positions, the term Patrol Agent is added to Chief positions outside of HQ. Thus, sectors have Chief Patrol Agents and Deputy Chief Patrol Agents in command but there is only one Chief and one Deputy Chief at USBP HQ. Depending on the size and complexity of a sector, the grade of CPAs and DCPAs is either SES or GS-15. Along the northern and coastal borders, where sectors are generally smaller, CPAs and DCPAs are GS-15 positions. Along the

southern border, where sectors are larger and more complex, CPAs and DCPAs are either SES or GS-15.

The area of responsibility within each sector is subdivided into smaller areas assigned to stations. Each station is led by a Patrol Agent in Charge (PAIC) and one or two Deputy Patrol Agent in Charges (DPAIC). Like sectors, the number of personnel and the complexity of the work at each station determines its organizational structure and the grade of the PAIC and DPAIC(s). PAIC position grades range from GS-13 to GS-15, and DPAICs are either GS-13 or GS-14.

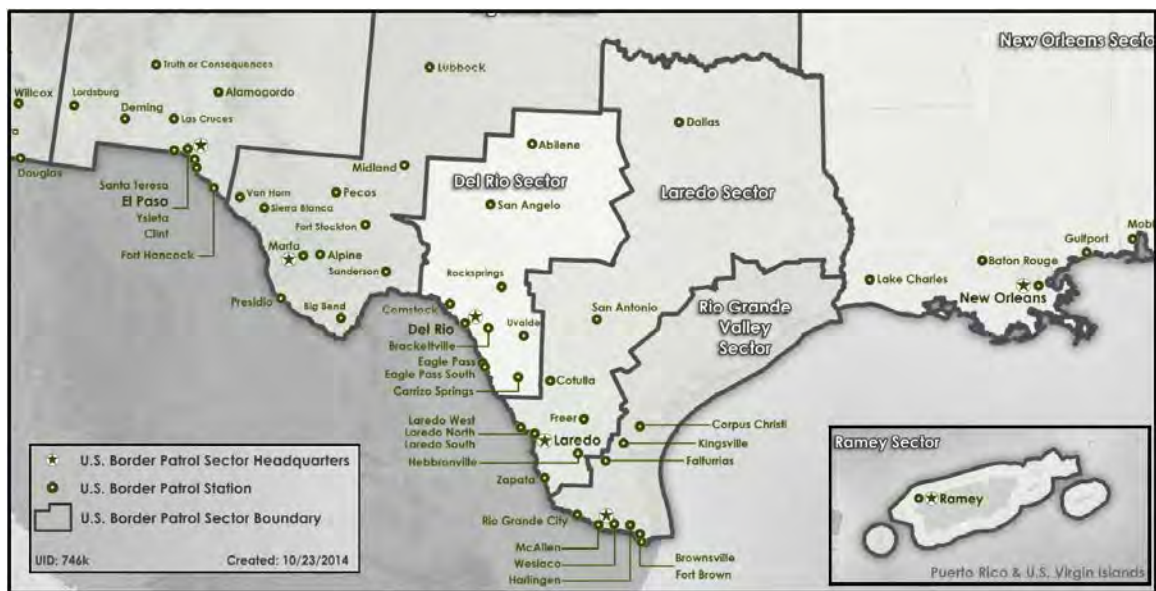


Figure 6. USBP Sectors and Stations in South Texas

Source: U.S. Border Patrol, “Border Patrol Sector Map,” accessed 20 April 2015, https://uconnect.cbpnet.cbp.dhs.gov/sites/OBP/Documents/USBP_Stations_Sectors.pdf.

The changes in size and complexity of the USBP after 1994 required an evaluation of USBP organizational structures to ensure effective and efficient command

and control of personnel. These changes also required a careful evaluation of USBP position classifications to ensure that the duties of agents were commensurate with their grades. In 2002, non-supervisory journeyman-level positions were upgraded from GS-9 to GS-11. On 29 August 2010, as the USBP continued to expand in size and complexity, journeyman-level BPA positions were again upgraded from GS-11 to GS-12 and first-line Supervisory Border Patrol Agent (SBPA) positions were upgraded from GS-12 to GS-13.²²

On 25 May 2012, the USBP standardized the organizational structures of sectors and stations. The development of the structures considered the USBP's strategic need to expand partnerships with stakeholders, to simplify internal communications, and to enhance intelligence efforts in support of the 2012-2016 Strategic Plan.²³ The new organizational structures also considered the changes in position description and grade increases for both journeyman and supervisory positions implemented in 2010. Coupled with advances in technology and information systems, the 2010 upgrades were implemented to reflect the more complex nature of agent duties and to recognize the maturing quality, skills, and capabilities of the workforce.²⁴ Previous organizational

²² U.S. Customs and Border Protection, "Promotion Eligibility Directive 51332-02B," 12 September 2013, accessed 12 December 2014, <http://pods.cbp.dhs.gov/>, 1.

²³ Michael J. Fisher, "Memorandum from U.S. Border Patrol Chief Michael J. Fisher to All Chief Patrol Agents and All Division Chiefs," U.S. Border Patrol, 25 May 2012, accessed November 2014, <https://uconnect.cbpnet.cbp.dhs.gov/sites/OBP/Docs/Pages/Home.aspx>, 1.

²⁴ Ibid.

structures were not designed to accommodate the increased number of personnel and by 2012, some stations were larger than their respective sectors were in 2004.²⁵

The implementation of the new organizational structures considered station size as the initial screening criterion. It also considered factors such as risk, threat, border miles, apprehension and interdiction data, local demographics, judicial and political boundaries, personnel ceilings, and complexity of mission support operations.²⁶ The new organizational structure classified stations as large, medium, or small. Stations with more than 350 total personnel are considered large; stations with more than 100 but no more than 350 personnel are considered medium; and stations with 100 or less total personnel are considered small.

With the new organizational structure, PAIC positions for large stations were upgraded from GS-14 to GS-15. In May of 2012, twelve stations were initially upgraded from GS-14 to GS-15 while allowing further consideration for upgrades to other stations as necessary.²⁷ In February 2013, seven more stations were upgraded from GS-14 to GS-15.²⁸ As of May 2015, a total of twenty-two stations have been upgraded from GS-14 to GS-15.

²⁵ Fisher, "Memorandum," 1.

²⁶ U.S. Border Patrol, "Standardization of U.S. Border Patrol Sector and Station Structures," 25 May 2012, accessed 10 December 2014, <https://uconnect.cbpnet.cbp.dhs.gov/sites/OBP/Docs/Pages/Home.aspx>.

²⁷ Ibid.

²⁸ U.S. Border Patrol, "Phase II Implementation of the New Border Patrol Structure," 25 February 2013, accessed 10 December 2014, <https://uconnect.cbpnet.cbp.dhs.gov/sites/OBP/Docs/Pages/Home.aspx>.

A large percentage of PAICs at northern border stations with more than forty personnel also qualified for upgrades from GS-13 to GS-14 commensurate with the scope of responsibilities entrusted to the incumbent.²⁹ As of May 2015, a total of seventy-five USBP stations have GS-14 PAICs and fifty-seven have GS-13 PAICs.

The new organizational structure also replaced the position of Assistant PAIC with the position of DPAIC. Two GS-14 DPAICs are approved for stations with a GS-15 PAIC. Stations with a GS-14 PAIC are approved one GS-14 DPAIC or one GS-13 DPAIC depending on the size and complexity of the station. Stations with a GS-13 PAIC are assigned one GS-13 DPAIC. Throughout these changes in size and complexity in the last twenty years, the minimum college education requirements for USBP command positions have remained the same. As will be discussed in more detail in chapter 4, education is one criterion considered for selection by the USBP from entry-level positions through the SES. However, lack of a four-year or advanced degree does not disqualify candidates for selection at any level.

History of Education and Policing

The subject of education and policing is not new. Proponents of police reform have advocated the importance of education in policing as far back as the 1800s. Policing in the 1800s was little more than the enforcement arm of politicians who based selection for positions on “bribes, nepotism, and political appointments rather than skills and

²⁹ U.S. Border Patrol, “Standardization of U.S. Border Patrol Sector and Station Structures.”

qualifications.”³⁰ During those years, law enforcement was ripe with corruption and lack of trust or confidence by the public.³¹ These poor conditions in the police profession created an environment early on where it became apparent that reform was needed.

In England, the Metropolitan Police Act of 1829, spearheaded by Sir Robert Peel, was revolutionary in its approach to policing as a profession and instrumental in providing meaningful and lasting reform for the police force in England. The Police Act was so successful in reducing violent crime in England that its principles and recommendations would eventually be exported and adopted by newly established police departments in the U.S. in what is known as community policing.³²

In the early 1900s, August Vollmer, the first Police Chief of the Berkeley Police Department in California, maintained that if the police were to attain professional standing, pre-employment training and education must be comparable in quality to that provided for lawyers, doctors, and the other professions.³³ In 1916, Vollmer established a three-year police school program in the Berkeley Police Department that each police officer of the department was required to complete with instruction provided by his

³⁰ William Pelfrey Jr., “Precipitating Factors of Paradigmatic Shift in Policing: The Origin of the Community Policing Era,” in *Community Policing: Contemporary Readings*, 2nd ed., ed. G. Alpert and A. Piquero (Long Grove: Waveland Press, 2000), 81.

³¹ Ibid.

³² Pamela M. Everett, *Encyclopedia of Community Policing and Problem Solving* (Thousand Oaks, CA: SAGE Publications, 2013), 249.

³³ O. W. Wilson, “August Vollmer,” *Journal of Criminal Law and Criminology* 44, no. 1 (1953): 91-103, accessed 8 June 2015, <http://scholarlycommons.law.northwestern.edu/cgi/viewcontent.cgi?article=4112&context=jclc>.

friends of the University of Berkeley.³⁴ His efforts influenced several universities on the West Coast to institute police and criminology courses that eventually the University of California used to develop a School of Criminology that offered a Bachelor's Degree as well as a Master's Degree in Criminology.³⁵ Vollmer commented,

Obviously, the officer on the beat need not be specially skilled in either the mental, biological or social sciences, nor should it be necessary for him to be intimately acquainted with every phase of the humanities. But none of these can be overlooked in the training of police officers if they are to have a broad, cultural, scientific, and technical background requisite for the performance of the modern officer's duties.³⁶

Although Vollmer did not specifically say that a college education should be required for all police officers, his advocacy of academic education in policing became a central point in the recommendations made by several commissions on law enforcement long after his death on 4 November 1955.

On 8 March 1965, ten years after the death of August Vollmer, President Lyndon B. Johnson issued a special message to the Congress on Law Enforcement and Administration of Justice, a group of nineteen people commissioned to provide recommendations to overcome the challenges faced by the American criminal justice system. In his special message to the President's Commission on Law Enforcement, President Johnson asked the Commission to determine if the nation, as a whole, was providing adequate education and training opportunities for those who administer the

³⁴Wilson, "August Vollmer."

³⁵ Ibid.

³⁶ Nathan Douthit and August Vollmer, *Thinking About Police: Contemporary Readings*, Ed. Carl B. Klockars (New York: McGraw-Hill, 1983).

criminal laws of the U.S.³⁷ Specifically, President Johnson asked the Commission to evaluate the programs and institutions available for law enforcement officers and to make recommendations on necessary additions.³⁸

In its final report, issued on February 1967, the President's Commission identified eight major reform needs, including education and training of criminal justice personnel. The Commission suggested that police officers should be required to have college degrees, noting, "This report has emphasized many times the critical importance of improved education and training in making the agencies of criminal justice fairer and more effective."³⁹ The Commission also noted, "Quality of policing will not improve until higher education requirements are established for its personnel."⁴⁰ Further, it stated, "the Commission believes that Federal financial support to provide training and education for state and local criminal justice personnel should be substantially increased."⁴¹ As examples of promising educational programs designed to encourage the

³⁷ Lyndon B. Johnson, "Special Message to the Congress on Law Enforcement and Administration of Justice," The American Presidency Project, 8 March 1965, accessed 15 April 2015, <http://www.presidency.ucsb.edu/ws/?pid=26800>.

³⁸ Johnson, "Special Message to the Congress on Law Enforcement and Administration of Justice."

³⁹ The President's Commission on Law Enforcement and Administration of Justice, *The Challenge of a Free Society* (Washington, DC: U.S. Government Printing Office, February 1967), 288.

⁴⁰ President's Commission on Law Enforcement and the Administration of Justice *Task Force Report: The Police* (Washington, DC: U.S. Government Printing Office, 1967).

⁴¹ President's Commission on Law Enforcement and the Administration of Justice *The Challenge of a Free Society*, 288.

acquisition of advanced skills, the Commission listed graduate training in law and business administration for police executives through degree courses, programs to encourage college education for police in liberal arts and sciences, including scholarship and loan support, and the establishment of minimum recruiting and training standards by states, particularly through the establishment of regional academies.⁴²

On 28 July 1967, shortly after the release of the report by the President's Commission on Law Enforcement, President Johnson appointed another commission tasked with investigating the causes of the Detroit race riots. The National Advisory Commission on Civil Disorders, also known as the Kerner Commission after its Chairman, Illinois Governor Otto Kerner, Jr., was composed of eleven members. Their task was to review the underlying causes for the riots and to provide recommendations to prevent similar incidents in the future. In its final report released on 29 February 1968, the Kerner Commission recommended that to prevent similar incidents from happening again, educational standards for police leaders should be expanded, noting that "formal educational programs should be expanded, not only because their content is needed, but because they define policing as a sophisticated and 'intellectual' pursuit in a complex, modern society. Such programs are ideally associated with colleges and universities, especially when conducted for command personnel."⁴³

⁴² President's Commission on Law Enforcement and the Administration of Justice, *The Challenge of a Free Society*, 288.

⁴³ Philip Meranto, ed., *The Kerner Report Revisited, Final Report and Background Papers* (Urbana-Champaign: University of Illinois, 1970).

In May 1970, New York City Mayor John V. Lindsay created the Commission to Investigate Alleged Police Corruption (also known as the Knapp Commission due to its chairman, Federal Judge Whitman Knapp). The Commission was created as a response to revelations of police corruption in the New York Police Department (NYPD) by Patrolman Frank Serpico and Sergeant David Durk. In its final report, the recommendations by the Knapp Commission to reduce the susceptibility to corruption in the NYPD included a college-level police school as a means to long-range police reform.⁴⁴ The Knapp Commission recommended the establishment of a national, federally funded police academy modeled after the military service schools that could provide a four-year college education for young men and women who wished to make a profession of police service.⁴⁵ As in the military service, the Knapp Commission recommended that a provision be made for such college education for officers rising through the ranks to add to the professionalism of the police service.⁴⁶

The recommendations for a college-educated force were not unique to these three commissions. Other commissions appointed throughout the 1960s and 1970s to address challenges related to policing also recommended four-year degrees for police officers. The Wickersham Commission in 1931 (also known as the National Commission on Law Observance and Enforcement), established by President Herbert Hoover to review

⁴⁴ The Knapp Commission Report on Police Corruption: Commission to Investigate Allegations of Police Corruption and the City's Anti-Corruption Procedures, by Whitman Knapp, Chairman, 26 December 1972.

⁴⁵ Ibid.

⁴⁶ Ibid.

challenges to the 18th Amendment of the U.S. Constitution, recommended that all police officers should have college degrees.⁴⁷ Similarly, the National Commission on the Causes and Prevention of Violence (1969) and the American Bar Association on Standards for Criminal Justice (1972) recommended higher levels of education for law enforcement professionals. In 1973, the National Advisory Commission on Criminal Justice Standards and Goals called for the establishment of a national minimum education level of a four-year degree, as did the Police Foundation's Advisory Commission on Higher Education for Police Officers (1978).⁴⁸

Collectively, the recommendations by these and other commissions for higher education requirements for law enforcement officers brought attention to the importance of education in policing. Numerous studies have been conducted after these commissions to determine how a college education helps officers in the performance of their duties. The majority of studies conducted on the subject show that higher education is positively correlated to many behavioral and attitudinal measures of law enforcement officers. Leaders of many law enforcement agencies across the U.S., as well as the International Association of Chiefs of Police, have acknowledged the importance of education in law enforcement.⁴⁹

⁴⁷ V. G. Strecher, "Stimuli of Police Education: Wickersham and LBJ's (Lyndon B. Johnson) Commission," *Justice Professional* 3, no. 2 (Fall 1988): 298-317.

⁴⁸ National Advisory Commission on Criminal Justice Standards and Goals, *Standards and Goals for the Administration of Justice* (Washington, DC: U.S. Government Printing Office, 1973).

⁴⁹ Louis Mayo, PhD., "College Education and Policing," *Police Chief Magazine* 73 (August 2006): 20-38.

Consequently, minimum education requirements in law enforcement organizations below the federal levels have steadily increased over time and will likely continue to rise. The remainder of this chapter will review the information available regarding current trends in college education requirements of law enforcement agencies as well as a review of the literature available on the effect of education on the law enforcement profession.

Trends in Education Requirements for Law Enforcement

A review of the data available regarding the current level of education of law enforcement officers shows an increase in the percentage of officers who possess more than a high school diploma and a trend of increasing college education requirements by law enforcement organizations at the state, county, and local levels. In 1992, some studies quantified the average number of years of education of law enforcement officers at 13.6 years, equivalent almost to an associate's degree. In 1994, another study found that just over eleven percent of law enforcement agencies nationwide required at least some study as a prerequisite for hiring.⁵⁰ In 2001, another study found that more than half of the law enforcement officers nationwide have some college degree education.⁵¹

⁵⁰ David L. Carter, Allen D. Sapp, and Darrel W. Stephens, "Higher Education as a Bona Fide Occupational Qualification (BFQQ) for Police: A Blueprint," *American Journal of Police* 7 (1988): 1-27; Samuel Walker, *Popular Justice: A History of American Criminal Justice*, 2nd ed. (New York: Oxford University Press, 1998).

⁵¹ O. Elmer Polk and David A. Armstrong, "Higher Education and Law Enforcement Career Paths: Is the Road to Success Paved by Degree?" *Journal of Criminal Justice Education* 12, no. 1 (2001): 77-99.

National data collected by the Department of Justice (Bureau of Justice Statistics) indicate an increase in the minimum college requirements of county and local law enforcement agencies in the last two decades. In its 1990 report, the Bureau of Justice Statistics reported that of approximately 3,100 sheriffs' departments across the U.S., 4 percent required more than a high school diploma and 3 percent required at least an associate's degree. In 1990, none of the sheriff's departments in the largest metropolitan areas (populations greater than one million) had education requirements beyond a high school diploma (see table 1).⁵²

By 2007, college education requirements for sheriff's offices had more than doubled. By 2007, the Bureau of Justice Statistics reported that 10 percent of sheriff's offices required more than a high school diploma, and 7 percent required an associate's degree.⁵³ Of the sheriff's offices operating in the largest metropolitan areas, 19 percent required more than a high school diploma (see table 2). Additionally, among the sheriff's offices serving 250,000 or more residents, a majority promoted college education within its ranks through tuition reimbursement and about half of the sheriff's offices offered education incentive pay.⁵⁴

⁵² Bureau of Justice Statistics Bulletin, "Sheriff's Departments 1990," accessed 27 December 2014, <http://www.bjs.gov/content/pub/pdf/sd90.pdf>.

⁵³ Bureau of Justice Statistics Bulletin, "Sheriff's Offices, 2007—Statistical Tables," accessed 27 December 2015, <http://www.bjs.gov/content/pub/pdf/so07st.pdf>.

⁵⁴ Ibid.

Table 1. Minimum educational requirement for new officer recruits in sheriffs' departments, by size of population served, 1990

Population served	Percent of departments						
	Total	Without requirement	All with requirement	Requiring minimum of:			
				High school diploma	Some college ^a	2-year college degree	4-year college degree
All sizes	100%	3%	97%	93%	1%	3%	—
1,000,000 or more	100%	0%	100%	100%	0%	0%	0%
500,000-999,999	100	0	100	95	2	2	2
250,000-499,999	100	0	100	93	2	5	0
100,000-249,999	100	2	98	87	4	8	0
50,000-99,999	100	3	97	93	1	4	0
25,000-49,999	100	2	96	95	0	3	0
10,000-24,999	100	4	95	90	--	5	—
Under 10,000	100	2	98	96	1	1	0

Note: Detail may not add to total because of rounding.
--Less than 0.5%.
^aNo degree requirement.

Source: Bureau of Justice Statistics Bulletin, "Sheriff's Departments 1990," accessed 27 December 2015, <http://www.bjs.gov/pubseries.cfm>.

Table 2. Education requirements for new deputies in sheriffs' offices, by size of population served, 2007

Population served	Agencies with a requirement	High school diploma	Some college*	2-year college degree	4-year college degree
All sizes	99%	89%	3%	7%	—%
1,000,000 or more	96%	78	15	4	—
500,000-999,999	100%	83	8	6	4
250,000-499,999	100%	90	2	6	2
100,000-249,999	100%	81	5	13	—
50,000-99,999	98%	85	3	10	—
25,000-49,999	98%	89	2	7	—
10,000-24,999	99%	89	3	6	—
Under 10,000	99%	94	2	4	—

Note: Detail may not sum to total due to rounding.
 *Nondegree requirements.
 —Less than 0.5%.

Source: Bureau of Justice Statistics, Law Enforcement Management and Administrative Statistics survey, 2007.

Source: Bureau of Justice Statistics Bulletin, "Sheriff's Departments 1990," accessed 27 December 2015, <http://www.bjs.gov/pubseries.cfm>.

The increase in minimum college education requirements is not unique to sheriff's offices. Local law enforcement organizations have also increased their minimum educational requirements. In 1990, the Bureau of Justice Statistics reported that of an estimated 12,288 local law enforcement agencies in the U.S., 6 percent required more than a high school diploma, and 4 percent required at least an associate's degree.⁵⁵ Twenty-one percent of the local police departments operating in the largest metropolitan areas had education requirements beyond high school (see table 3).

Table 3. Minimum educational requirement for new officers recruits in local police departments, by size of population served, 1990

Population served	Percent of departments						
	Total	Without requirement	All with requirement	High school diploma	Some college*	2-year college degree	4-year college degree
All sizes	100%	4%	96%	90%	2%	4%	--
1,000,000 or more	100%	7%	93%	71%	21%	0%	0%
500,000 - 999,999	100	0	100	82	7	11	0
250,000 - 499,999	100	2	98	78	12	5	2
100,000 - 249,999	100	0	100	91	4	5	1
50,000 - 99,999	100	1	99	81	13	6	0
25,000 - 49,999	100	0	100	83	4	13	0
10,000 - 24,999	100	1	99	90	3	5	0
2,500 - 9,999	100	1	99	93	2	4	--
Under 2,500	100	7	93	89	1	2	0

Note: Detail may not add to total because of rounding.
 --Less than 0.5%.
 *No degree requirement.

Source: Bureau of Justice Statistics Bulletin, "State and Local Police Departments 1990," accessed 27 December 2015, <http://www.bjs.gov/pubseries.cfm>.

⁵⁵ Bureau of Justice Statistics Bulletin, "State and Local Police Departments, 1990," accessed 27 December 2015, <http://www.bjs.gov/content/pub/pdf/slpld90.pdf>.

By 2007, minimum education requirements for local police departments had also more than doubled. Sixteen percent of all local police departments required more than a high school diploma, 9 percent required an associate's degree, and 1 percent required a four-year college degree. For local police departments operating in the largest metropolitan areas, 38 percent had education requirements beyond high school compared to 21 percent in 1990 (see table 4).⁵⁶ By 2008, 57 percent of local law enforcement officers nationwide were employed by agencies that reimbursed them for college tuition.⁵⁷

Table 4. Education requirements for new officers in local police department, by size of population served, 2007

Education requirements for new officers in local police departments, by size of population served, 2007					
Population served	Total with requirement	Percent of departments requiring a minimum of—			
		High school diploma	Some college*	2-year college degree	4-year college degree
All sizes	98%	82%	6%	9%	1%
1,000,000 or more	100%	62%	38%	0%	0%
500,000–999,999	100	68	16	16	0
250,000–499,999	98	65	9	17	7
100,000–249,999	99	72	16	7	4
50,000–99,999	99	68	14	14	3
25,000–49,999	99	68	15	14	1
10,000–24,999	99	83	7	9	--
2,500–9,999	98	80	5	13	1
Under 2,500	97	87	5	5	1
Note: Detail may not sum to total because of rounding.					
--Less than 0.5%.					
*Non-degree requirements.					

Source: Bureau of Justice Statistics Bulletin, "Local Police Departments," 2007, accessed 27 December 2014, <http://www.bjs.gov/pubseries.cfm>.

⁵⁶ Bureau of Justice Statistics, "Local Police Departments, 2007," accessed 27 December 2014, <http://www.bjs.gov/content/pub/pdf/lpd07.pdf>.

⁵⁷ Bureau of Justice Statistics, "Hiring and Retention of State and Local Law Enforcement Officers, 2008—Statistical Tables," accessed 27 December 2014, <http://www.bjs.gov/content/pub/pdf/hrsleo08st.pdf>.

The Bureau of Justice Statistics also reported that in 1990, 18 percent of state police departments required more than a high school diploma, with 8 percent requiring at least an associate's degree (see table 5).⁵⁸ This indicates that the number of state police departments requiring more than a high school diploma in 1990 was higher than the number of local police departments requiring similar levels of education in 2007. The Bureau of Justice Statistics has not published updated information to determine if college education requirements have increased or decreased across state police departments.

Table 5. Educational requirements for new officers in State Police Departments, 1990

Educational requirement	Percent of State police departments requiring
4-year college degree	0%
2-year college degree	8
Some college coursework	10
High school diploma	80

Source: Bureau of Justice Statistics Bulletin, "State and Local Police Departments," 1990, accessed 27 December 2014, <http://www.bjs.gov/pubseries.cfm>.

This data from the Bureau of Justice Statistics shows that the number of county and local law enforcement agencies requiring more than a high school diploma have steadily increased over the last two decades. As the police profession has increased

⁵⁸ Bureau of Justice Statistics Bulletin, "State and Local Police Departments, 1990."

college education requirements at these levels, numerous studies have provided empirical evidence that college education provides significant improvements in various behavioral and attitudinal measures of the law enforcement profession. In the next pages, an overview of some of the studies is provided.

Education and Police Performance

The results of most studies on this subject show a positive correlation between education and performance but not always. For example, Krimmel and Lindenmuth showed in their study that education is not just an important predictor of success and failure of police leaders, but there were significant differences between college-educated police chiefs and police chiefs without a college education across thirty-five performance and leadership indicators.⁵⁹ Studies by Paoline and Terrill show a positive correlation between education and the use of verbal force and coercion, suggesting that officers with a 4-year degree have less forceful encounters resulting in significantly less use of physical force than non-college graduates do.⁶⁰ However, in his research, Withal concluded that “formal schooling and varied experience offer police chiefs no guarantees

⁵⁹ John T. Krimmel and Paul Lindenmuth, “Police Chief Performance and Leadership Styles,” *Police Quarterly* 4, no. 4 (December 2001): 469-83.

⁶⁰ Eugene A. Paoline III, Stephanie M. Myers, and Robert E. Worden, “Police Culture, Individualism, and Community Policing: Evidence from Two Police Departments,” *Justice Quarterly* 17, no. 3 (September 2000): 575-605; William Terrill and Stephen D. Mastrofski, “Situational and Officer-Based Determinants of Police Coercion,” *Justice Quarterly* 19, no. 2 (2002): 215-248.

of effectiveness.”⁶¹ Similarly, the results of the study by Kenney and Cordner suggests that more information on the effect of a college education on policing is needed.⁶² Furthermore, in another study, Wilson suggested that police officers with a college education beyond an associate’s degree were more resistant to authority and reluctant to perform some tasks.⁶³

Some professional educators have suggested that the evidence on the effect of a college education on officer performance is lacking, while others have pointed that inconsistencies in the research in the subject of education and job performance are most likely due to the variance in how the variables of each study are measured.⁶⁴ A meta-analysis of five empirical studies with varying findings on the subject of law enforcement and policing conducted by Hunter, Schmidt, and Jackson found that “all five studies had significant findings consistently in the positive direction between education and police performance, and that the variance between them was much smaller than reported.”⁶⁵

⁶¹ Donald Witham, *American Law Enforcement Chief Executive: A Management Profile* (Washington, DC: Political Profiles, 1985), 6.

⁶² Dennis J. Kenney, and Gary W. Cordner. *Managing Police Personnel* (Cincinnati, OH: Anderson Publishing, 1996).

⁶³ Hugh Wilson, “Post-secondary Education of the Police Officer and Its Effect on the Frequency of Citizens’ Complaints,” *Journal of California Law Enforcement* 33 (April 1999).

⁶⁴ Kenney and Cordner, *Managing Police Personnel*; Janice K. Penegor and Ken Peak, “Police Chief Acquisitions: A Comparison of Internal and External Selections,” *American Journal of Police* 11, no. 1 (1992): 17-32.

⁶⁵ J. E. Hunter, F. L. Schmidt, and G. E. Jackson, *Meta-Analysis: Cumulating Research Findings across Studies* (Beverly Hills: Sage, 1982).

They concluded that, “It has been shown in this study that by cumulating across studies we can find consistent agreement that education and police performance are moderately related.”⁶⁶ The authors noted that the inconsistency in the findings in these five cases, and possibly on other studies on education and policing, may be caused by “artifactual errors in the data.”⁶⁷

Hayeslip noted in his study, “Officers with higher education are generally more motivated, are more able to utilize innovative techniques, display clearer thinking, and have a better understanding of the world of policing as well as the importance of education on the role of police.”⁶⁸ In his study, Bozza also showed a positive correlation between higher education and higher arrest rates.⁶⁹ Cascio showed that law enforcement officers with higher education had fewer preventable accidents and used less sick leave.⁷⁰

⁶⁶ Hunter, Schmidt, and Jackson, *Meta-Analysis: Cumulating Research Findings across Studies*, 57.

⁶⁷ Ibid.

⁶⁸ David W. Hayeslip Jr., “Higher Education and Police Performance Revisited: The Evidence Examined through Meta-Analysis,” *American Journal of Police* 8, no. 2 (1989): 49-63.

⁶⁹ C. M. Bozza, “Motivations Guiding Policemen in the Arrest Process,” *Journal of Police Science and Administration* 1, no. 4 (1973): 468-76.

⁷⁰ W. F. Cascio, “Formal Education and Police Officer Performance,” *Journal of Police Science and Administration* 5, no. 1 (1977): 89-96.

Roberg and Weirman found only a moderate correlation between education and aggregate performance ratings.⁷¹

Other studies came to similar conclusions regarding education and performance. Lester concluded that law enforcement officers with a higher education demonstrated better performance in police training, as did Baehr, who found a strong positive correlation between education and field performance.⁷² Cohen found that officers with college educations received fewer complaints and disciplinary action.⁷³ Finnegan also found that college education had a positive correlation to performance evaluations by supervisors, while Sanderson found that college education had a positive effect on police academy performance and career advancement.⁷⁴

⁷¹ R. R. Roberg, "An Analysis of the Relationships Among Higher Education, Belief Systems, and Job Performance of Patrol Officers," *Journal of Police Science and Administration* 6, no. 3 (1978): 336-44; C. Weirman, "Variances of Ability Measurement Scores Obtained by College and Non-College Educated Troopers," *Police Chief* (August 1978): 34-36.

⁷² D. Lester, "Predictors of Graduation from a Police Training Academy," *Psychological Reports* 44 (1979): 362-68; M. Baehr, J. Furcon, and E. Froemel, *Psychological Assessment of Patrolman Qualifications in Relation to Field Performance* (Washington, DC: U.S. Government Printing Office, 1968).

⁷³ Bernard Cohen and Jan M. Chaiken. *Police Background Characteristics and Performance* (Lexington, MA: Lexington Books, 1973).

⁷⁴ J. Finnegan, "A Study of the Relationship between College Education and Police Performance in Baltimore, Maryland," *The Police Chief* (August 1976): 60-62; B. E. Sanderson, "Police Officers: The Relationship of College Education to Job Performance," *The Police Chief* 44 (August 1978): 62-63.

A study conducted by Eterno in 2008 looked at how education levels influenced the field performance of newly hired NYPD Cadets.⁷⁵ The results indicated that cadets with a college education performed better than those with only a high school diploma, suggesting a positive effect of education on police performance. The same study, however, did not reveal a statistically significant difference between college-educated officers and high-school graduates of the NYPD Academy in measures such as use of force complaints, general complaints, and vehicle accidents.

In August of 2006, Police Chief Magazine printed an article titled, *College Education and Policing*, focused on the importance of college education on the police profession.⁷⁶ The article included the results of various studies showing the benefits of a college education on policing as well as comments from several chiefs of police. The article also included an annotated bibliography of studies conducted on the effect of a college education on law enforcement performance, a valuable source of information for this thesis. The annotated bibliography is as follows:

⁷⁵ John A. Eterno, "Homeland Security and the Benefits of College Education: An Exploratory Study of the New York City Police Department's Cadet Corps," *Professional Issues in Criminal Justice* 3, no. 2 (2008): 1-15.

⁷⁶ Mayo, "College Education and Policing."

Table 6. Annotated Bibliography

Source/Study	Notes
Aamodt, Michael G. <i>Research in Law Enforcement Selection</i> . Boca Raton, Florida: Brown Walker Press, 2004.	Summarizes 330 studies investigating the validity of methods used to select law enforcement personnel. Concludes that officers with a college education perform better in the academy, receive higher performance ratings on the job, have fewer disciplinary problems, have less absenteeism, and use force less often than their peers without a college education.
American Bar Association. <i>The Urban Police Function</i> . By Herman Goldstein and Sheldon Krantz. Chicago, 1973.	Police need personnel in their ranks who have the characteristics of a college education to foster intellectual curiosity, analytical ability, articulateness, and a capacity to relate the events of the day to the social, political, and historical context in which they occur.
U.S. National Institute of Mental Health. <i>The Functions of the Police in a Modern Society: A Review of Background Factors, Current Practices, and Possible Role Models</i> . By Egon Bittner. Rockville, Maryland: 1972.	Recommends a goal of a master's degree for entering officers.
Carter, David L., Darrel W. Stephens, and Al D. Sapp. "Effect of Higher Education on Police Liability: Implications for Police Personnel Policy." <i>American Journal of Police</i> 8 (1989): 153–166.	Officers with college degrees are less likely than officers with less education to incur citizen complaints. Higher officer education reduces liability risks for police departments.
Cohen, Bernard, and Jan M. Chaiken. <i>Police Background Characteristics and Performances: Summary</i> . New York: Rand, 1972.	Study of 1,600 New York City police officers found that when education is introduced into the regression equation for civilian complaints, it emerged as the most powerful predictor of civilian complaints.
Committee on Integrity. <i>Report to Mayor Daly</i> . Chicago, Illinois: 1997.	Recommends bachelor's degrees for officers to reduce corruption. The same recommendation was made for the same reason by the Royal Commission into the New South Wales Police Service (Final Report: Volume 1: Corruption, 1997).
Cunningham, Scott. "Discipline and Educational Levels of Law Enforcement Officers, an Exploratory Report." Paper presented at the 110th Annual IACP Conference, Philadelphia, Pennsylvania, 2003.	Statewide study in Florida found that officers with only high school diplomas accounted for a disproportionately high number of discipline cases.
Davis v. Dallas, 777 F.2d 205 (5th Cir. 1985).	The need for police officers who are intelligent, articulate, mature, and knowledgeable about social and political conditions is apparent. . . . [A] college education develops and imparts the requisite level of knowledge.
Finckenauer, J. O. "Higher Education and Police Discretion." <i>Journal of Police Science and Administration</i> 3 (December 1975).	A series of vignettes illustrating different police discretionary situations were presented to police recruits, comparing responses from college-educated and non-college-educated recruits. College-educated recruits were more likely to choose approaches not involving an arrest or other official action.
Fullerton, Ernie. "Higher Education as a Prerequisite to Employment as a Law Enforcement Officer." Dissertation, University of Pittsburgh, 2002.	Summarizes the works of ten researchers from 1967 to 1992 who found important desirable traits for officers that are achieved through college education: less cynicism, less authoritarianism, less attrition, fewer disciplinary problems,

Source/Study	Notes
	more local pride in the police department, fewer sick days, higher academic performance, more awards, higher felony arrests made, higher performance evaluations, better decision making, flexibility in problem solving, greater empathy toward minorities, less negativity toward legal restrictions, more discretion and less control-oriented, less inclined toward rigid enforcement of the law, and less support for insularity.
Kappaler, V. E., Allen D. Sapp, and David L. Carter. "Police Officer Higher Education, Citizen Complaints, and Departmental Rule Violations." <i>American Journal of Police</i> 11 (February 1992): 35–54.	This is a study of a midsize Midwestern police department for relationship between college graduate officers and complaints. Officers with college degrees had statistically significant fewer complaints than officers without college degrees.
President's Commission on Law Enforcement and the Administration of Justice. Task Force Report: The Police. Washington, DC: U.S. Government Printing Office, 1967.	It is nonsense to state or assume that the enforcement of the law is so simple that it can be done best by those unencumbered by the study of liberal arts. . . . Police agencies need personnel in their ranks who have the characteristics which a college education seeks to foster: . . . a capacity to relate the events of the day to the social, political, and historical context in which they occur.
Sanderson, B. E. "Police Officers: The Relationship of College Education to Job Performance." <i>The Police Chief</i> 44 (August 1977): 62–63.	College education is positively related to numerous performance indicators, including academy performance, discipline, absenteeism, terminations, and career advancement.
Tyre, Mitchell, and Susan Braunstein. "Higher Education and Ethical Policing." <i>FBI Law Enforcement Bulletin</i> 61 (June 1992): 6–10.	Specific studies indicate that better educated officers choose more ethical actions.
Wilson, Hugh. "Post-secondary Education of the Police Officer and Its Effect on the Frequency of Citizens' Complaints." <i>Journal of California Law Enforcement</i> 33 (April 1999).	Study of several California police departments found that officers with bachelor's degrees receive fewer complaints than officers with no degrees.

Source: Louis Mayo, PhD, "College Education and Policing," *Police Chief Magazine*, 73 (August 2006): 20-38.

In an article titled, *The Impact of a College-Educated Police Force: A Review of the Literature*, Rebecca L. Paynich, PhD., also summarized her findings in her PhD. dissertation research on college education and policing. In summarizing her research of the available literature on college education and policing, Dr. Paynich stated that, "While I did not find in my dissertation research a relationship between education and community oriented policing, I did find empirical evidence that education is clearly

important in culture changes within policing—both in professionalizing police and expanding the police role.”⁷⁷

After reviewing numerous empirical studies on the effect of college education on policing, in her summary points, Dr. Paynich listed the following positive impacts of a college education on policing:⁷⁸

Table 7. Impacts of College Education on Policing

College-Educated Police Officers:	College-Educated Officers Report That They:
<ul style="list-style-type: none"> — Have better communication skills — Write better reports — Are more tolerant with citizens — Display clearer thinking — Have better understanding of policing and the criminal justice system — Have better comprehension of civil rights issues from multiple perspectives — Adapt better to organizational change — Are more professional — Have fewer administrative and personnel problems — Are better able to utilize innovative techniques — Receive fewer citizen complaints — Receive fewer disciplinary actions — Have fewer preventable accidents — Took less sick time away from work — Perform better in police training — Are less likely to use deadly force — Are less cynical — Are more open-minded — Place a higher value on ethical conduct 	<ul style="list-style-type: none"> — Are better able to utilize employee contacts — Have a greater knowledge of the law — Are better prepared for court — Have a higher quality of performance on the job — Have a higher level of problem-solving abilities — Communicate better and have better interpersonal working relationships — Are better at resolving conflicts — Are more equipped to deal with criticism, change, workload, and stress — Make better discretionary decisions

Source: Rebecca L. Paynich, PhD, “The Impact of a College-Educated Police Force: A Review of the Literature,” *Massachusetts Chiefs of Police* (February 2009), accessed 15 November 2014, <http://www.masschiefs.org/files-and-downloads/hot-topics/96-the-impact-of-higher-education-in-law-enforcement-feb-2009-and-summarypdf/file>.

⁷⁷ Rebecca L. Paynich, PhD, “The Impact of a College-Educated Police Force: A Review of the Literature,” *Massachusetts Chiefs of Police*, February 2009, accessed 15 November 2014, <http://www.masschiefs.org/files-and-downloads/hot-topics/96-the-impact-of-higher-education-in-law-enforcement-feb-2009-and-summarypdf/file>.

⁷⁸ Ibid.

In a study consisting of police officers self-reporting information, Krimmel summarized that “in a number of categories, the college-educated police officers (those possessing a bachelor’s degree) rated themselves higher on a self-report performance instrument than did police officers without bachelor’s degrees,” including the ability to utilize employee contacts, knowledge of the law, preparedness for court, quality of work assignments, level of problem-solving ability, level of arrest analysis, level of confidence with supervisors, quality of written work, quality of oral presentations, self-image, arrest report quality, investigative report quality, and interpersonal relationships.⁷⁹ In 1998, Kakar came to a similar conclusion in his study of patrol officers in Dade County, Florida, stating, “The police officers with some college education rated themselves significantly higher on several performance categories as compared to the officers without any college education and officers with a college degree rated themselves higher than the other two groups.”⁸⁰ The categories used by Kakar included the ability of the officers to handle stressful situations, their attitudes towards change, and their attitude towards extra work and criticism. Overall, Kakar found that college-educated officers rated themselves higher on knowledge of laws and procedures, conflict resolution, communications (report writing), leadership, responsibility, and critical-thinking skills.⁸¹

⁷⁹ Krimmel and Lindenmuth, “Police Chief Performance and Leadership Styles.”

⁸⁰ Suman Kakar, “Self-Evaluations of Police Performance: An Analysis of the Relationship Between Police Officers’ Education Level and Job Performance,” *Policing* 21, no. 4 (1998): 632.

⁸¹ Ibid.

Similarly, in 1994, Vodicka also found a correlation between education levels of law enforcement officers and communication, concluding that officers with higher education showed better communication skills, and were better able to deal with change.⁸² Two years earlier, Carter and Sapp had found a similar correlation in their study, noting that police candidates with a college education showed higher written and verbal communication skills, made better discretionary decisions, and showed more empathy and tolerance of others.⁸³ In 1990, Worden also found that police officers with a college education had better problem-solving abilities,⁸⁴ while in 1998 the research conducted by Hooper also found that officers with college degrees were better at writing reports and received fewer citizen complaints.⁸⁵

Overall, the majority of studies conducted to determine how education influences police performance have found that higher education is positively correlated to performance categories such as oral, written, and interpersonal communications; professionalism; innovation; conduct; knowledge of the law; problem-solving abilities; conflict resolution; and ability to make decisions. Although some studies show inconclusive results, most studies on education and policing show a positive correlation between college education and the specific police performance areas measured. It is

⁸² A. T. Vodicka, "Educational Requirements for Police Recruits," *Law and Order* 420 (1994): 91-94.

⁸³ Carter, Sapp, and Stephens, "Higher Education."

⁸⁴ R. E. Worden, "A Badge and a Baccalaureate: Policies, Hypotheses, and Further Evidence," *Justice Quarterly* 7, no. 3 (1990): 565-592.

⁸⁵ M. K. Hooper, "The Relationship of College Education to Police Officer Job Performance" (PhD diss., Claremont Graduate School, 1988).

possible that some of the studies that show little or no correlation between education and specific measures of police performance had artifactual errors in the data. However, given the number of studies that have found a positive correlation, it can be reasonably concluded that education has a positive effect on law enforcement performance.

Education and Police Conduct

Many studies have concluded that education also has a positive influence on the performance measure of police misconduct. In 1989, Carter and Sapp reported that college-educated police officers had fewer disciplinary problems and placed a higher value on ethical conduct.⁸⁶ A 1992 study by Kappeler, Sapp, and Carter also found that law enforcement officers who possessed a college education received fewer complaints from the public, but found that the level of education made little difference in the number of violations of agency rules and procedures.⁸⁷

In a significant study conducted in 2002, the Administration Committee of the International Association of Chiefs of Police conducted a study to determine if a correlation existed between educational level and misconduct. The study considered disciplinary data during the period of 1997-2002, comparing disciplinary data to the education levels of more than 43,000 law enforcement officers across the state of Florida.

⁸⁶ David L. Carter, Allen D. Sapp, and Darrel W. Stephens, "Effect of Higher Education on Police Liability: Implications for Police Personnel Policy," *American Journal of Police* 8 (1989): 153-166.

⁸⁷ V. E. Kappeler, A. D. Sapp, and D. L. Carter, "Police Officer Higher Education, Citizen Complaints, and Department Rule Violations," *American Journal of Police* 11, no. 2 (1992): 37-54.

The results of the study revealed that the higher the educational level, the lower the level of discipline to which officers were subjected.⁸⁸ Officers who had only high school diplomas (58 percent) were subject to 75 percent of the disciplinary actions.⁸⁹ Officers who had only an associate's degree (16 percent) performed better and were subjected to 12 percent of all disciplinary actions.⁹⁰ Officers with a bachelor's degree (24 percent) performed even better and were subjected to 11 percent of the disciplinary actions.⁹¹ Regarding the most severe form of discipline (revocation of peace officer certification), the 58 percent of the officers with only a high school diploma suffered 77 percent of the certification losses. Although the study did not demonstrate a direct cause-and-effect relationship between education and conduct, it revealed that law enforcement officers who possess a higher education generally perform better on measures of misconduct, encountering less disciplinary problems than their less educated counterparts do.

In what Dr. Paynich describes as “the most comprehensive study of police education to date,” Carter, Sapp, and Stephens published a report titled, *The State of Police Education: Policy Direction for the 21st Century*, a 1989 report that also reviewed

⁸⁸ Scott Cunningham, “The Florida Research,” *The Police Chief* 73, no. 8 (August 2006), accessed 8 June 2015, http://www.police-association.org/library/articles/iacp_aug06_college-ed-policing2.pdf.

⁸⁹ Ibid.

⁹⁰ Ibid.

⁹¹ Ibid.

significant findings from a study of police departments across the U.S.⁹² The executive summary of their report summarized the content of previous empirical studies in the area of education and policing, including the following important findings related to this thesis. College-educated officers perform the tasks of policing better than their non-college counterparts; college-educated officers are generally better communicators, whether with a citizen, in court, or as part of a written police report; college-educated officers are more flexible in dealing with difficult situations and in dealing with persons of diverse cultures, life-styles, races, and ethnicity; officers with higher education are more professional and more dedicated to policing as a career rather than as a job; educated officers adapt better to organizational change and are more responsive to alternative approaches to policing; college-educated officers are more likely to see the broader picture of the criminal justice system than to view police more provincially as an exclusive group; and law enforcement agencies have fewer administrative and personnel problems with the college-educated officer compared with the non-college officer.

In another relevant study published in 1998 that highlighted the influence of a college education on professionalism, Truxillo found a correlation between college education and supervisory ratings of an officer's job knowledge, stating, "College education instills a higher degree of professionalism and maturity that is needed and

⁹² David L. Carter, Allen D. Sapp, and Darrel W. Stephens, *The State of Police Education: Policy Direction for the 21st Century* (Washington, DC: Police Executive Research Forum, 1989).

valued at higher organizational levels.”⁹³ Lastly, in another study that analyzed the impact of college education on policing in 2004, Roberg and Bonn stated, “The benefits provided by a higher education, combined with social and technological changes, the threat of terrorism (along with civil rights issues), and the increasingly complexity of police work, suggest that a college degree should be a requirement for initial police employment.”⁹⁴

Conclusion

The overall, enduring theme regarding the relationship between education and policing is that education creates a police force that is more prepared, better behaved, and better able to deal with the unique challenges and responsibilities of the law enforcement profession. Therefore, the answer to the first subordinate question can be determined at this point. What effect, if any, does a college education have on critical aspects of the law enforcement profession, particularly on performance? The answer is that college education most often than not has a positive effect on police performance. The majority of empirical studies show that a college education improves police performance in most categories, including improved conduct. The results of the large study in Florida show a positive correlation between college education and police conduct as a measure of performance. The results of this and other empirical studies are echoed by police chiefs in

⁹³ Donald M. Truxillo, Suzanne R. Bennett, and Michelle L. Collins, “College Education and Police Job Performance: A Ten-Year Study,” *Public Personnel Management* 27, no. 2 (1998): 269-280.

⁹⁴ R. Roberg, and S. Bonn, “Higher Education and Policing: Where Are We Now?” *Policing* 27, no. 4 (2004): 13.

many police departments who attest to the value of a college education on the law enforcement profession. Although a college education is not a guarantee for success in the law enforcement profession, law enforcement officers who possess a college education generally perform and conduct themselves at a level above those who do not possess a college education.

CHAPTER 3

RESEARCH METHODOLOGY

Chapter 2 provided an overview of the history of the USBP, its organizational structure, changes in its size and budget, and its current strategic plan. Additionally, the review of the literature included some of the strategic goals of current and past USBP strategies as they relate to improving employee performance. Chapter 2 also provided an overview of the literature regarding the positive relationship between college education and many categories of police performance.

This thesis seeks to answer one primary question and two subordinate questions. The primary question is, “Should the USBP increase the minimum college education requirements for commanders?” The first subordinate question is, “What effect, if any, does a college education have on critical aspects of the law enforcement profession, particularly on performance?” The second subordinate question is, “Does the USBP promote college education within its ranks?”

To answer these questions, research will be conducted using the qualitative research method known as document analysis.⁹⁵ Document analysis is a systematic procedure for reviewing or evaluating printed and electronic documents and material such as memoranda, reports, and computer-based systems.⁹⁶ The analytic procedure entails finding, selecting, appraising, and synthesizing data contained in documents to

⁹⁵ Glenn A. Bowen, “Document Analysis as a Qualitative Research Method,” *Qualitative Research Journal* 9, no. 2 (2009): 27-40.

⁹⁶ *Ibid.*, 27.

yield data that is then organized into major themes or categories.⁹⁷ Document analysis is often, but not always, used in combination with other qualitative research methods as a means of triangulation (the combination of methodologies in the study of the same phenomenon).⁹⁸ The rationale for document analysis lies in its role in methodological and data triangulation, the immense value of documents in case study research, and its usefulness as a stand-alone method for specialized forms of qualitative research.⁹⁹

Compared to other research methods, document analysis has advantages and disadvantages. Document analysis adapts to the researcher's schedule, is less time-consuming, and can be more efficient than other research methods because it requires data selection instead of data collection.¹⁰⁰ Document analysis also benefits from the availability of information in the public domain without the author's permission, especially since the advent of the internet.¹⁰¹ It is also cost-effective and offers documents that can cover a long span of time, many events, and many settings.¹⁰² As a USBP employee, this method also provides the author the added benefit of providing access to information that is limited to USBP employees, which will provide for a more specific and accurate analysis.

⁹⁷ Bowen, "Document Analysis as a Qualitative Research Method," 28.

⁹⁸ Ibid.

⁹⁹ Ibid., 29.

¹⁰⁰ Ibid., 31.

¹⁰¹ Ibid.

¹⁰² Ibid.

Unfortunately, document analysis also has flaws. It could provide insufficient detail because documents are often created for purposes that are independent of the research agenda, or documents may be unavailable.¹⁰³ An incomplete collection of documents can also lead to “biased selectivity” that may limit the objectivity of the data.¹⁰⁴ Nevertheless, the advantages of document analysis make it an appropriate qualitative research method to complete this study.

In 1989, Egon G. Guba, PhD. and Yvonna S. Lincoln, Ed.D. proposed that to establish trustworthiness in qualitative inquiry, the research study must be credible and dependable.¹⁰⁵ They claim that a study is credible when it presents faithful descriptions and when co-researchers or readers confronted with the experience can recognize it.¹⁰⁶ Using their definition, credibility can be considered synonymous with believability. Dependability occurs when another researcher can consistently follow and repeat the decision trail used by the researcher.¹⁰⁷

To establish the credibility of this study, the document analysis will rely only on information approved by USBP and CBP such as official memoranda and strategies, electronic CBP systems, government websites (internal and external), and other official

¹⁰³ Bowen, “Document Analysis as a Qualitative Research Method,” 32.

¹⁰⁴ Ibid.

¹⁰⁵ Egon G. Guba and Yvonna S. Lincoln, *Fourth Generation Evaluation* (Newberry Park, CA: Sage Publications, 1989).

¹⁰⁶ Ibid.

¹⁰⁷ Eileen Thomas and Joan K. Magilvy, “Qualitative Rigor or Research Validity in Qualitative Research,” *Journal for Specialists in Pediatric Nursing* 16 (2011): 153.

sources of information. To the extent possible, the document analysis will also focus on objective information obtained from these sources to minimize the introduction of researcher bias to the study. For example, the “value” of college education relative to other criteria used to evaluate candidates for command positions will be determined using percentages. The reliance on numerical information and official government information will also increase the dependability of this qualitative research. These strategies, laws, regulations, and numbers used in the analysis are easy to find and support the repeatability of the results by other researchers.

An analysis of the available information on the subject of education in the USBP will be conducted in the chapter 4. This will consist of analyzing current USBP strategies, memoranda, processes, systems, websites, and other useful and reliable information that is relevant to this thesis. Using the document analysis method, the first step will be to review the current levels of college education of USBP commanders. This will provide the proper context that will help answer the principal question of this thesis and help determine if changes are needed for minimum college education requirements for USBP commanders.

The second step will be to analyze the role education plays in employee promotions in the USBP. The analysis will include the relative value placed on education compared to other criterion considered for advancement into command positions. As will be shown in chapter 4, current and future USBP commanders are selected to attend the Command and General Staff College, senior service schools, advanced leadership programs, and other executive development programs. This step will help determine if and how the USBP leverages the investment made in education of commanders, and the

college education that other agents may possess, to advance its strategic goals and objectives.

The third step will be to analyze current USBP programs that promote college education and invest in USBP employees as outlined in the 2012-2016 Border Patrol Strategic Plan. At the conclusion of steps two and three of this analysis methodology, we will be able to answer the second subordinate question of this thesis: Does the USBP promote college education within its ranks?

The fourth step will be to analyze the current occupational requirements of USBP positions, including education. This will include a brief analysis of the classification criteria used by the U.S. Office of Personnel Management (OPM) for positions in the BPA General Series (GS-1896) and the reason for the grade increases of USBP positions. The answer to the primary question of this thesis should become apparent upon completion of these four steps and will lead to an appropriate conclusion and recommendations in chapter 5.

Conclusion

Document analysis is an appropriate qualitative research method to complete this study. The subject of the study, the availability of information for analysis, and the type of documentary evidence available align well with this methodology. Its limitations do not seriously limit the completion of this study and provide an adequate analytical process to arrive to a sound conclusion. The systematic approach to the analysis of documentary evidence in the next chapter will provide the information necessary for an appropriate conclusion and for possible recommendations.

CHAPTER 4

ANALYSIS

In this chapter, we will conduct the analysis necessary to answer the primary and subordinate questions of this thesis. The primary question of this thesis is, “Should the USBP increase the minimum college education requirements for commanders?” The first subordinate question is, “What effect, if any, does a college education have on critical aspects of the law enforcement profession, particularly on performance?” The second subordinate question is, “Does the USBP promote college education within its ranks?”

To answer these questions, there are four important blocks of information that we must obtain. First, we must determine the current level of college education of USBP commanders. An proper assessment of whether the college education levels of commanders should increase must first determine the current levels of education of commanders. For example, if all USBP commanders at any level of command have a master’s degree, this will help determine if it is necessary, appropriate, or even feasible to increase their level of education. To obtain this information, I will analyze information obtained from the USBP regarding station commanders, as well as the profiles of USBP HQ and sector commanders, to determine their current levels of college education.

Without this essential information the primary question of this thesis cannot be answered.

Second, we must determine the role that college education plays in the selection of USBP commanders as well as the value of college education relative to other selection criteria. The value assigned to education in the selection process will help determine how important college education is considered in the USBP for positions of command. This will also shed light on how the current selection process influences the current college

education levels of commanders. To obtain this information, I will review the current candidate evaluation system and evaluation criteria used by the USBP to rank the best qualified candidates for command positions.

Third, we must determine the number and type of graduate and undergraduate education programs used by the USBP to promote college education for commanders. This will provide additional information and context on how the USBP promotes education for commanders beyond the selection process. To obtain this information, I will review the current number of graduate and executive-level programs currently used by the USBP to prepare current and future commanders. This analysis will also include the number of personnel who have completed these programs and the challenges that limit their wider availability.

Last, we must determine how current laws and regulations influence the ability of the USBP to implement a change in the college education requirements of commanders. To determine whether the USBP should increase the minimum college education requirements of its commanders, we must first determine if it is legally permissible. To make this determination, I will analyze the current laws and regulations that govern the college education requirements of USBP positions. I will also analyze the possible alternatives available to the USBP to increase the minimum college education requirements of its commanders if it is not permissible under current law.

Upon conclusion of the analysis of these four blocks of information, we will be able to answer the primary thesis question and the two subordinate questions. The information obtained in this analysis will be used to formulate an appropriate conclusion

and recommendations in chapter 5 on whether the USBP should increase the minimum college education requirements of its commanders.

Current Levels of College Education of USBP Commanders

In order to determine if minimum college education requirements for command positions in the USBP should increase, we must first establish a baseline from which this determination can be made. The level of college education of the current station, sector, and USBP HQ commanders can be used as a reference point from which the analysis to answer the thesis question can begin.

As was described in chapter 2, there are three levels of command in the USBP organizational structure: stations, sectors, and USBP HQ in Washington, DC. At stations, command is held by the station PAIC with support from one or two DPAIC(s) depending on the size and complexity of the station. To ascertain the levels of education of PAICs and DPAICs, the websites of each of the stations were reviewed within the DHS intranet (limited to DHS employees). Each sector and station has a profile posted in internal websites that often includes a brief biography of station and sector commanders. Unfortunately, these internal websites do not always include the education levels of commanders.

To overcome this obstacle, a request was made to USBP HQ for information on the level of education of station and sector commanders nationwide. In turn, USBP HQ collected information regarding education levels from sector and station commanders to support this thesis. Internal emails were sent from USBP HQ to commanders to ascertain their level of college education. Responses were voluntary and confidential. To maintain anonymity, the data received from USBP HQ for analysis in this thesis did not include

names, assignment locations, or any other information that could identify respondents.

The Table 8 is a summary of the results received from USBP HQ.

Table 8. College Education Levels of PAICs

GRADE AND POSITION	PERMANENT PERSONNEL	NUMBER OF RESPONSES	RESPONSE %	LESS THAN 4-YEAR DEGREE	LESS THAN 4-YEAR DEGREE %	4-YEAR DEGREE OR HIGHER	4-YEAR DEGREE OR HIGHER %
GS-15 PAIC	20	6	30.0%	5	83.3%	1	16.7%
GS-14 PAIC	79	30	38.0%	13	43.3%	17	56.7%
GS-13 PAIC	43	16	37.2%	9	56.3%	7	43.8%
GS-14 DPAIC	77	27	35.1%	12	44.4%	15	55.6%
GS-13 DPAIC	63	33	52.4%	18	54.5%	15	45.5%
Overall	282	112	39.7%	57	50.9%	55	49.1%

Source: Michael Rosamond, USBP HQ Workforce Management Branch, e-mail message to author, 7 May 2015.

As the table shows, the response provided by the station commanders was lower than expected. There were 282 PAICs and DPAICs permanently assigned to stations as of 7 May 2015 and only 112 responded to the survey for an approximate 40 percent response rate. Nevertheless, the data shows that of the 112 PAICs and DPAICs that responded to the survey across all grades, approximately half have less than a four-year degree and half have a four-year degree or higher. The data received did not include the date when the respondents obtained their degree (before or after joining the USBP), the type of degree conferred (major field of study), and the number of graduate versus undergraduate degrees. Additionally, the data does not show the number of PAICs and

DPAICs who possess a high school degree, an associate degree, or the total number of credits completed towards a four-year degree. Additional information is needed to determine with a higher level of accuracy the educational profile (level and type of education) of PAICs and DPAICs across these grades. This information would support the strategic goals of the USBP, specifically strengthening the USBP by investing in people, as the 2012-2016 Strategic Plan prescribes. A baseline of the current education levels of commanders and staff would provide a starting point from which progress in college education levels can be measured.

To obtain the level of education of sector and USBP academy commanders, I analyzed the profiles posted on internal USBP websites of the permanent CPAs and DCPAs. Fortunately, each location updates its website regularly, including the profiles of CPAs and DCPAs, including their experience and education. Since the number of CPAs and DCPAs is relatively small, this information was relatively easy to collect and provides reliable data for research and analysis. Table 9 is a summary of the levels of education of CPAs and DCPAs at sectors and the USBP Academy as of 18 May 2015.

Table 9. College Education Levels of CPAs and DCPAs (includes USBP Academy)

CHIEF PATROL AGENTS			DEPUTY CHIEF PATROL AGENTS		
Positions available	21		Positions available	21	
Vacancies	2		Vacancies	2	
Occupied	19		Occupied	19	
Not specified or none	6	31.6%	Not specified or none	3	15.8%
Associate's	2	10.5%	Associate's	2	10.5%
Bachelor's	6	31.6%	Bachelor's	11	57.9%
Master's/JD	5	26.3%	Master's/JD	3	15.8%
Some college	13	68.4%	Some college	16	84.2%
BA OR HIGHER	11	57.9%	BA OR HIGHER	14	73.7%

Source: U.S. Border Patrol, “U.S. Border Patrol Leadership Map,” accessed 25 May 2015, <http://cbpnet/linkhandler/cbpnet/obp>.

As the CPA and DCPA tables show, eleven of the nineteen CPAs (ten permanent sector chiefs plus the Chief of the USBP Academy) have a bachelor’s degree or higher and five have a master’s degree or JD. More than two thirds of CPAs have some college education (more than a high school diploma). About one third (6) of the CPA profiles did not specify the level of education, which could mean that the CPA does not have a college degree or simply that the information was omitted from the profile. The profiles of the current sector and academy DCPAs show that almost three quarters of DCPAs have a bachelor’s degree or higher and more than 84 percent have some college education. Only three of the nineteen profiles did not specify if the DCPA had a college degree. Overall, these tables show that almost two-thirds (25 out of 38) of the CPAs and DCPAs have a four-year degree or higher and more than 20 percent have a graduate degree.

In addition to the educational levels listed in these tables, the profiles of most CPAs and DCPAs include attendance to robust, advanced leadership education programs

at various prestigious academic institutions, including Harvard University and the University of Chicago. Some of these advanced leadership programs are tailored for senior leaders and executives but do not confer a degree. However, they provide an important type and level of education that is not easy to attain, and for which selection requires years of experience and preparation. These academic programs will be reviewed later in this chapter.

At USBP HQ, there are six uniformed, SES-level commanders responsible for planning, organizing, coordinating, and directing enforcement efforts designed to secure our nation's borders.¹⁰⁸ They include the Chief and Deputy Chief of the USBP; the Chief and two Deputy Chiefs of the Law Enforcement Operations Directorate; and the Chief of the Strategic Planning and Policy Directorate (See figure 5 in chapter 2). The Executive Director of the Mission Readiness Operations Directorate is not a uniformed USBP agent and does not have command over station or sector operations. Therefore, the analysis of the education levels of USBP HQ commanders will not include this position. There are various other GS-15, GS-14, and GS-13 general staff positions at USBP HQ but collectively, these six positions constitute the USBP HQ national command.

A review of biographies posted in internal USBP websites, which included education, experience, and other relevant information, determined the level of education of these six commanders at USBP HQ. Of these six positions, only one position was vacant as of 18 May 2015. Each the six permanent commanders has at least a bachelor's

¹⁰⁸ U.S. Border Patrol, "Organizational Structure and Functions," accessed 15 March 2015, http://cbpnet/linkhandler/cbpnet/obp/administration/border_patrol_divisions/obp_org_chart.ctt/obp_org_chart.pdf.

degree and two have a master's degree including the Chief of the USBP, who possesses a Master's Degree in Business Administration.¹⁰⁹

Of the three levels of command in the USBP, USBP HQ evidently has the highest level of academic education achievement. Although the data obtained from USBP on the college education levels of PAICs and DPAICs is limited, the responses received suggest that the percentage of station commanders with at least a four-year degree (49 percent) is lower than the percentage of sector commanders (66 percent) with similar education. Furthermore, whereas about two thirds of sector commanders have at least a bachelor's degree and about 20 percent have an advanced degree, 100 percent of USBP HQ commanders have a bachelor's degree and one third have an advanced degree.

This analysis shows that the average level of academic education of USBP commanders increases with the levels of command. As the literature review in chapter 2 shows, a college education provides officers with knowledge and skills that can be useful in the law enforcement profession and that are positively correlated with improved performance. This could explain the higher percentage of college-educated commanders as the levels of command increase. If candidates with college degrees tend to perform better, their chances of being promoted would also increase.

The differences in these percentages could also be due to the increasing levels of competition at the higher levels of command where education becomes more critical for selection among candidates with similar levels of experience. If the system used to select

¹⁰⁹ U.S. Customs and Border Protection, "Chief of the Border Patrol Michael J. Fisher, Office of Border Patrol," accessed 10 May 2015, <http://www.cbp.gov/about/leadership/assistant-commissioners-office/border-patrol>.

commanders considers education as a criterion for promotions, then possessing a college education could become more important as candidates compete through the levels of command. In the next pages, the system used to select USBP commanders will be analyzed, including the value of a college education in the selection process at the station and sector levels of command relative to other selection criteria.

College Education in the Selection of USBP Commanders

Objective 2.1 of the 2012-2016 Border Patrol Strategic Plan (Strengthen Investment in People) states that the USBP will ensure that there is a systematic and deliberative process to select the right employee, at the right time, for the right position using a multi-tiered approach incorporating education, training, and work experience to maximize the effectiveness of personnel.¹¹⁰ What does such selection process look like? How does college education fit into this process and how does it compare to other criteria for selection?

On a memorandum dated 14 May 2012, the USBP announced its Succession-Management Tools and Generalized Agent Career Paths.¹¹¹ The memorandum denotes two separate but equally important generalized career paths, staff assignments and operational assignments, along timelines that include the type of positions, experience,

¹¹⁰ U.S. Border Patrol, “2012-2016 Border Patrol Strategic Plan,” 22.

¹¹¹ U.S. Border Patrol, “Announcement of U.S. Border Patrol Succession Management Tools: Generalized Agent Career Paths, Mobility Agreements, and Dashboard Applicant Review tool (DART) 2.0,” 14 May 2012, accessed 15 December 2014, <https://uconnect.cbpnet.cbp.dhs.gov/sites/OBP/Docs/HqPolicy/12-23104B%20USBP%20Succession%20Management%20Tools.pdf>.

and education that normally prepare and mature agents for competitive advancement. Although the positions depicted along the career path timelines are not absolute, they provide insight on the type of positions and experiences that normally mature and prepare agents for competitive advancement through the various levels of command.¹¹² The generalized career paths include the caveat that candidates for DPAIC positions and higher will normally have completed a staff assignment at USBP HQ.¹¹³

¹¹² U.S. Border Patrol, “Announcement of U.S. Border Patrol Succession Management Tools.

¹¹³ Ibid.

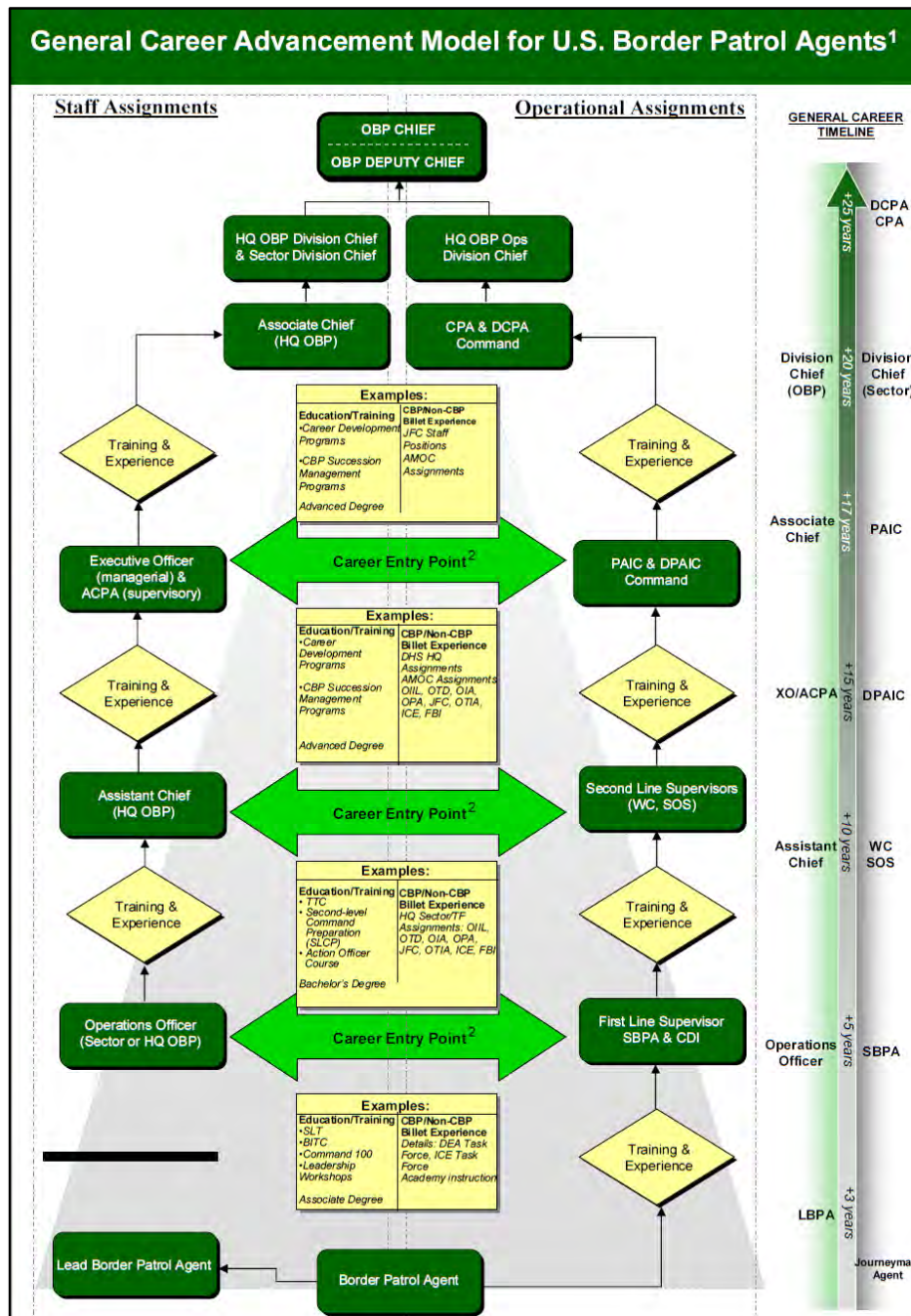


Figure 7. General Career Advancement Model for U.S. Border Patrol Agents.

Source: U.S. Border Patrol, “Announcement of U.S. Border Patrol Succession Management Tools: Generalized Agent Career Paths, Mobility Agreements, and Dashboard Applicant Review tool (DART) 2.0,” 14 May 2012, accessed 15 December 2014, <https://uconnect.cbpnet.cbp.dhs.gov/sites/OBP/Docs/HqPolicy/12-23104B%20USBP%20Succession%20Management%20Tools.pdf>.

The 14 May 2012 memorandum also announced the implementation of the Dashboard Applicant Review Tool (DART), an electronic document created to standardize and simplify the initial review process of applicants applying for USBP operational positions.¹¹⁴ The DART was designed to provide hiring officials the ability to apply weighting to various categories such as experience, education, etc. and to quickly capture and sort the relative experience levels of applicants.¹¹⁵ Using the DART, selecting officials have a more effective and efficient way to narrow down the list to the best-qualified candidates for a position. The DART also provides a snapshot of the overall quality of the pool of candidates for each position.

The DART is only a portion of the examining process for selection of personnel for competitive positions. The DART is conducted after a position is announced and a certificate issued to the USBP listing the eligible candidates that applied for the position. The competitive examining process can be summarized in the following flowchart, which includes the location within the process where the DART is conducted.

¹¹⁴ U.S. Border Patrol, “Announcement of U.S. Border Patrol Succession Management Tools.

¹¹⁵ Ibid.

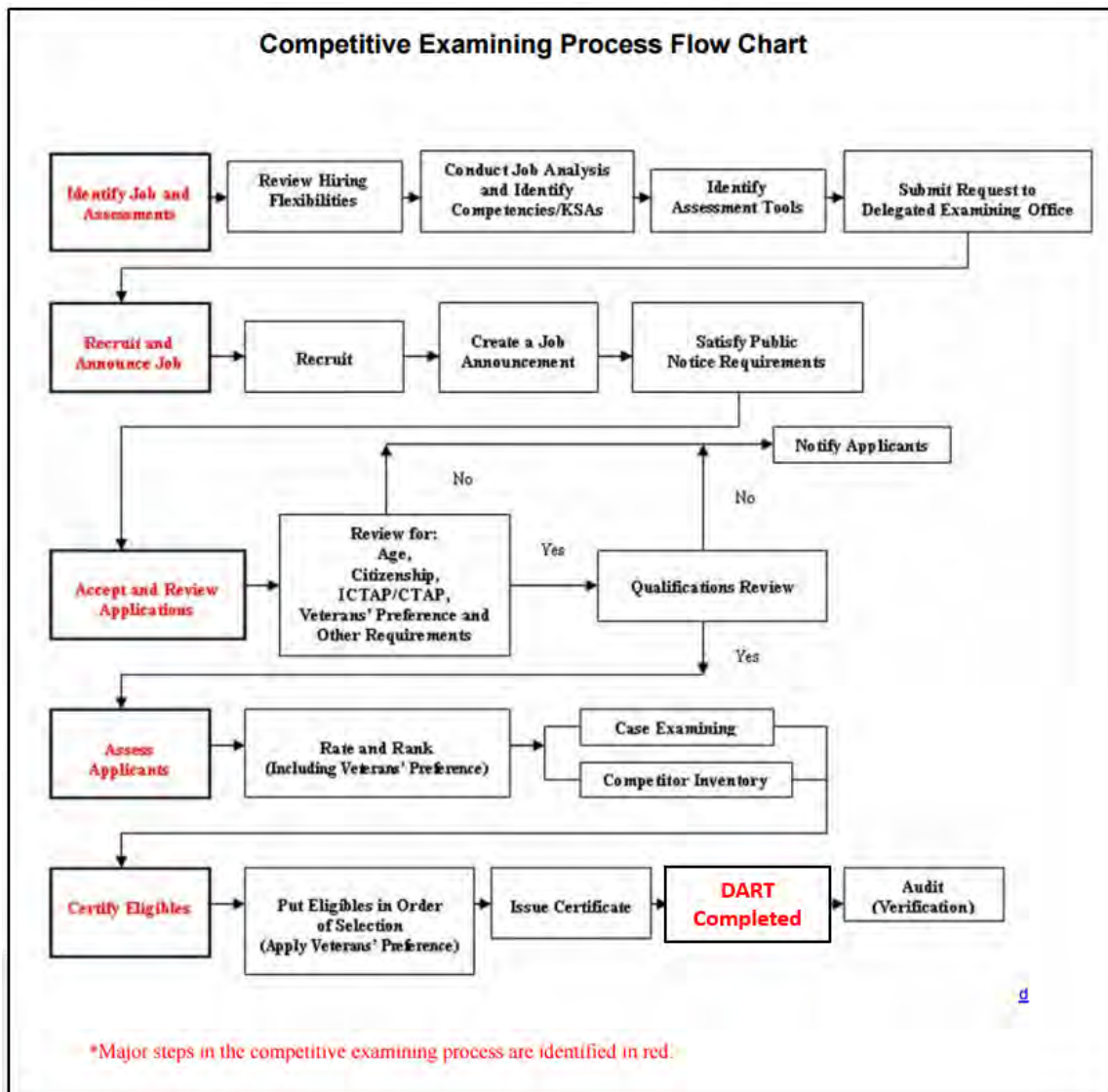


Figure 8. Competitive Examining Process Flow Chart

Source: U.S. Office of Personnel Management, “Delegated Examining Operations Handbook: A Guide for Federal Agency Examining Offices,” May 2007, accessed 15 December 2015, http://www.opm.gov/policy-data-oversight/hiring-authorities/competitive-hiring/deo_handbook.pdf.

The DART consists of two main portions: an evaluation of candidate experience based on their résumé and a reference check from the candidate’s supervisor. In the first portion, the DART considers the level of experience of each candidate along twelve

categories. Ten of the twelve categories relate to experience in operational assignments, staff assignments, and assignment diversity. The other two categories are education and leadership programs attended. The scores of each category level are multiplied by standardized weights to provide a weighted score for each category. The weighted scores for all categories are then totaled to provide an overall experience score for each candidate.

		INSERT DATE OF REVIEW				INSERT POSITION SERIES & TITLE									
CANDIDATES	CERT RANK	CERT TYPE	FIELD LINE EXPERIENCE	SECTOR/STATE EXPERIENCE	COMMAND EXPERIENCE	HQ EXPERIENCE	ACTING EXPERIENCE	ASSIGNMENT DIVERSITY	INTELLIGENCE EXPERIENCE	ACADEMY EXPERIENCE	LIASON ASSIGNMENT	LEADERSHIP DEVELOPMENT PROGRAMS	NON RPLC EXPERIENCE	EDUCATION EXPERIENCE	
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		None	None	None	None	None	None		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	None	
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		None	None	None	None	None	None		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	None	
		None	None	None	None	None	None		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	None	
		None	None	None	None	None	None		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	None	
		None	None	None	None	None	None		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	None	
		None	None	None	None	None	None		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	None	
		None	None	None	None	None	None		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	None	
		None	None												

all questions are totaled to provide a final reference score. The final reference score is then added to the DART experience score to obtain the candidate's composite DART score.

Punctual & Reliable (Q1)	Willing to Make Decisions (Q2)	Able to Work with Others (Q3)	Works Independently (Q4)	Takes Initiative & Motivated (Q5)	Ability to Lead Others (Q6)	Ability to Manage Resources (Q7)	Ability to Think Strategically (Q8)	Ability to Negotiate Effectively (Q9)	Ability to Promote Innovation & Change (Q10)							
Weighting	Weighting	Weighting	Weighting	Weighting	Weighting	Weighting	Weighting	Weighting	Weighting							
3	3	2	2	3	3	2	3	2	3							
CANDIDATE		Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13	Q14	TOTAL
PAIC Julio C. Pena		5	5	5	5	5	5	5	5	5	5	n	n	n	n	134
0		1														
0		2														
0		3														
0		4														
0		5														
0																

RATING SCALE:

1 = Unable to Evaluate

2 = Below Average / Unacceptable

3 = Average

4 = Above Average

5 = Exceptional

RATING SCALE:
 1 = Unable to Evaluate
 2 = Below Average / Unacceptable
 3 = Average
 4 = Above Average
 5 = Exceptional

Figure 10. Dashboard Applicant Review Tool (DART) Reference Check

Source: U.S. Border Patrol, “Announcement of U.S. Border Patrol Succession Management Tools: Generalized Agent Career Paths, Mobility Agreements, and Dashboard Applicant Review tool (DART) 2.0,” 14 May 2012, accessed 15 December 2014, <https://uconnect.cbpnet.cbp.dhs.gov/sites/OBP/Docs/HqPolicy/12-23104B%20USBP%20Succession%20Management%20Tools.pdf>.

In the next pages, I will analyze the experience portion of the DART, including the scores and weights used to measure experience and education. The experience of candidates for command is evaluated using a point system where candidates with more points are considered more experienced. The number of points assigned to college education compared to other criteria determine its proportion and therefore its influence in the selection process. For example, if a four-year degree is assigned 5 percent of the overall experience score, the lack of a college degree would have much less influence in selections than if the value was 30 percent.

Similarly, an analysis of the reference check portion of the DART will help determine its influence in the selection process relative to the experience categories. To

answer the thesis question of whether education standards should increase for positions of command, it is critical to know how the current USBP systems used to select commanders consider and value college education in the selection process.

On 26 November 2014, USBP HQ standardized the weights used for the DART experience categories and reference questions for DCPA positions at the GS-15 level and for PAIC positions at the GS-14 and GS-15 levels.¹¹⁶ On 29 December 2014, USBP HQ also standardized the weights for the positions of CPA (GS-15 level only) and DPAIC (GS-13 and GS-14).¹¹⁷ These standardized weights are valid for the duration of fiscal year 2015. Collectively, these four positions constitute the sector and station commanders between the grades of GS-13 to GS-15 (CPA and DCPA positions in the SES are not affected by these memorandums because competition for selection to SES does not use the DART). The tables below show the standardized weights assigned to the experience categories and to the reference check questions in these memorandums.

¹¹⁶ U.S. Border Patrol, “DART Category Weighting for DCPA and PAIC,” 26 November 2014, accessed 15 March 2015.

¹¹⁷ U.S. Border Patrol, “DART Category Weighting for CPA and DPAIC,” 29 December 2014, accessed 15 March 2015.

Table 10. Standardized Experience Weights for CPA, DCPA, PAIC, and DPAIC

EXPERIENCE CATEGORY	CPA	DCPA	PAIC	DPAIC
Field Line (Station) Experience	2	2	3	3
Sector Staff Experience	2	2	2	2
Command Experience	3	3	2	2
USBP HQ Experience	2	2	3	2
Temporary (Acting) Experience	1	1	2	2
Assignment Diversity	2	2	2	2
Intelligence Experience	1	1	1	1
USBP Academy Experience	1	1	1	1
Liaison Experience	2	2	1	1
Leadership Programs Attended	1	1	3	2
Education Experience	2	2	2	2
Previous Law Enforcement Experience	1	1	1	1

Source: U.S. Border Patrol, “DART Category Weighting for CPA and DPAIC,” 29 December 2014, accessed 15 March 2015; U.S. Border Patrol, “DART Category Weighting for DCPA and PAIC,” 26 November 2014, accessed 15 March 2015.

Table 11. Standardized Reference Check Weights for CPA, DCPA, PAIC, and DPAIC

REFERENCE CHECK QUESTIONS	CPA	DCPA	PAIC	DPAIC
Q1. Punctuality and Reliability?	3	3	3	3
Q2. Willingness to Make Decisions?	3	3	3	3
Q3. Ability to Work With Others?	3	3	2	2
Q4. Ability to Work Independently?	2	2	2	2
Q5. Initiative & Motivation?	3	3	3	2
Q6. Ability to Lead Others?	3	3	3	3
Q7. Ability to Manage Resources?	2	2	2	2
Q8. Ability to Think Strategically?	2	2	3	2
Q9. Ability to Negotiate Effectively?	2	2	2	2
Q10. Ability to Promote Innovation and Change?	2	2	3	2
Q11. Any Attendance or Leave Problems?	Y=1; N=0	Y=1; N=0	Y=1; N=0	Y=1; N=0
Q12. Any Honesty or Integrity Issues?	Y=1; N=0	Y=1; N=0	Y=1; N=0	Y=1; N=0
Q13. Issues that may prevent passing a Background Investigation?	Y=1; N=0	Y=1; N=0	Y=1; N=0	Y=1; N=0
Q14. Any reason for not Re-hiring candidate?	Y=1; N=0	Y=1; N=0	Y=1; N=0	Y=1; N=0
RESPONSE VALUES				
1= Unable to Evaluate				
2= Below Average/Unacceptable				
3= Average				
4= Above Average				
5= Exceptional				

Source: U.S. Border Patrol, “DART Category Weighting for CPA and DPAIC,” 29 December 2014; “DART Category Weighting for DCPA and PAIC,” 26 November 2014, accessed 15 March 2015; Sandra Mollfulleda, USBP HQ, e-mail message to author, 13 April 2015.

Using the latest version of the DART (Version 2.1), these standardized weights were applied to the values assigned to each level of experience and to each reference check question to create two scoring matrices. Each matrix reveals the actual number of points that can be accrued for the positions of CPA, DCPA, PAIC, and DPAIC. These

matrices are helpful to analyze the value of college education compared to other experience and compared to supervisory evaluations.

An analysis of the of the experience scores in the matrix above reveals the following. First, if the values and weights assigned to the DART experience categories are indicative of their importance for these command positions, then education is considered less important than the most basic experience. For example, the “Assignment Diversity” category in the DART provides points for experience in a single sector, multiple sectors, or multiple borders (this category is geography-based more than it is experience-based). Because all agents are assigned to a sector upon joining the USBP, it is literally impossible not to meet the lowest level of assignment diversity. Therefore, all candidates receive credit for this basic experience (two points) even though it is indistinctive and cannot predict future performance. Conversely, to receive the same number of points in the education category candidates must have at least an associate’s degree.

Moving up within the assignment diversity category, experience in two operationally-similar sectors within a border corridor (e.g. Laredo Sector and Del Rio Sector within the South Texas Campaign) is considered equally valuable as a bachelor’s degree, and experience at the northern or coastal border is considered equally valuable as a graduate degree. In this case, a voluntary transfer from a busy, large, and complex southern border station to a smaller and less dynamic northern or coastal station is rewarded with a score of the same value as a graduate degree.

Experience in USBP operations can be gained in developmental, or “stretch” assignments. A “stretch” assignment is a project or task given to employees which is

beyond their current knowledge or skills level in order to “stretch” employees developmentally.¹¹⁸ It challenges employees by placing them into uncomfortable situations in order to learn and grow.¹¹⁹ However, voluntary relocations to the northern or coastal border are not considered “stretch” assignments. They are often sought by agents to be closer to family, improve quality of life, or for other personal reasons. Conversely, a graduate degree is significantly more difficult and costly to obtain than a voluntary transfer or job swap. Nevertheless, the current DART scoring system considers both lines of effort as equally important for command positions.

As another example, basic field experience is weighed more than college education for PAICs even though all PAICs must have basic field experience. Current USBP policy requires agents to serve one year a first-line supervisory position and one year in a second-line supervisory position before they are eligible to compete for PAIC positions.¹²⁰ Even though all PAIC candidates must meet these minimum requirements to even be eligible to compete, the DART awards six points for this experience, the educational equivalent of a master’s degree.

Second, these tables also show that with the current DART values, a four-year degree is valued as much as some temporary promotions at the lower levels of supervision. Under the current dart values, a temporary promotion to Acting DPAIC

¹¹⁸ Besin and Associates, “Stretch Assignment,” accessed 4 June 2015, <https://www.bersin.com/Lexicon/details.aspx?id=14750>.

¹¹⁹ Ibid.

¹²⁰ U.S. Customs and Border Protection, “Promotion Eligibility Directive 51332-02B,” 1.

provides the same value (four points) as a bachelor's degree. Furthermore, a temporary promotion to an equal or lower command level than the highest level permanently held is still counted as experience because permanent and temporary experience fall in different categories. For example, a DPAIC competing for a PAIC position would receive credit for previous, temporary assignment as Acting DPAIC even though he is now the permanent DPAIC. In this example, the temporary assignment as Acting DPAIC would count as four points, the educational equivalent of a bachelor's degree, even though the command level of his permanent position meets the command level of the temporary position. Similarly, a PAIC competing for a DCPA position can claim experience gained in a temporary assignment as Acting DPAIC even though his current level of command (PAIC) exceeds the level of his temporary experience.

Third, the DART does not encourage broader academic preparation because it only counts the highest degree attained. No additional DART value is gained from multiple graduate or undergraduate degrees. The DART assigns values for a wide variety of operational and staff experiences but the same cannot be said for education. Thus, a candidate with an MBA and a J.D. would receive credit for only one degree. The DART also does not consider the relevance of the degree for the duties of a USBP commander. Degrees in Culinary Arts, Fashion Design, or Film Studies are thus considered as relevant and valuable for command as degrees in Border Security, Homeland Security, and Emergency Management.

Fourth, within the experience categories of the DART, the relative value of a college degree does not increase, and in fact decreases, as candidates progress through the levels of command. For example, PAIC candidate John Smith has a master's degree,

advanced leadership training, academy and intelligence experience, taskforce experience, prior law enforcement experience, multiple borders experience, and an illustrious career that includes serving as DPAIC, Watch Commander, Assistant Chief, Assistant Chief Patrol Agent, and Acting PAIC. With his record, John Smith would obtain an experience score of fifty when competing for a PAIC position. Of those 50 points, his graduate degree accounts for 6 points, or 12 percent of his overall experience score.

After being selected to PAIC, using the generalized career paths, PAIC Smith would likely serve as an Associate Chief, Division Chief, Deputy Chief Patrol Agent, and probably Acting Chief Patrol Agent before he is competitive for a CPA position. Consequently, this additional experience would increase his score to fifty-six using the standardized experience weights for CPA positions. However, the value of his graduate degree is still six points and now accounts for a smaller percentage of his overall score.

Furthermore, USBP HQ also standardized the weights for Associate Chief and Assistant Chief in 2012 (these are not considered command positions but they constitute the numerical majority of USBP HQ staff and are within the generalized career paths to command).¹²¹ Whereas education is weighed as a two for commanders outside of USBP HQ, the weight assigned to education for these two USBP HQ staff positions is a one. Upon promotion from stations and sectors to these USBP HQ staff positions, the value of a college education becomes 50 percent less important.

¹²¹ U.S. Border Patrol, “DART Category Weighting–Headquarters Associate Chief Candidates,” 16 August 2012; U.S. Border Patrol, “DART Category Weighting for the Headquarters Assistant Chief 14,” 27 September 2012; Sandra Mollfulleda, USBP HQ, e-mail message to author, 13 April 2015.

So far, based in the DART scores, the relative value of a college education appears to decrease as the levels of command increase. Yet the survey data and commander biographies reviewed earlier in this chapter indicate that the percentage of commanders with college degrees increases commensurate with the levels of command. How can this discrepancy be explained?

Commanders at USBP HQ are selected using the criteria established for the SES, which is based on standards that are different from those established by the DART. The application of different selection standards could explain this discrepancy. Considering the educational achievement of the current USBP HQ commanders (100 percent possess at least a bachelor's degree), the selection system used to select senior leaders appears to promote, or at least emphasize, college education. Associate Chief and Assistant Chief positions are affected by the standardized DART weights but not enough data exists to determine the overall level of education of these USBP HQ staff positions. Additional research would have to be conducted to on this topic for a more complete picture.

Additionally, the discrepancy could also be explained by natural competition. As candidates compete repeatedly for positions from the lowest ranks through the highest ranks, those with qualities that help distinguish exemplary candidates from average candidates, including college education, are more likely to succeed. This would result in a pool of candidates that is increasingly more educated as competition continues to occur and college education becomes more and more important. However, additional research would have to be conducted to determine if the candidates obtained their undergraduate or graduate degrees before or after being promoted to determine what role, if any, education played in their selections.

In addition to the experience scores, the DART also provides a score for the responses given by a candidate's supervisor during the reference checks. Upon review of the reference check questions and the scoring matrix above, the following information is also revealed. First, reference checks are subjective and definitions could vary for what is considered average, below average, or exceptional. Because the reference checks provide no baseline or metrics that can be applied equally to all candidates, they cannot effectively distinguish performance between candidates. The introduction of different weights to each question only exacerbates this issue.

Second, the scores that can be achieved through the reference checks are much greater than those that can be achieved through experience and education. Ten of the fourteen reference questions are scored using a range of one through five, each with a standardized weight of two or three. This translates to scores for each question that generally range from six to fifteen points, which far exceed those that can be achieved in most experience categories. If the experience scores and the reference scores are combined in the DART, then supervisory evaluations have a greater influence on selections than experience and education.

For example, the maximum experience score of PAIC candidate John Smith is a fifty, based on his strong background and graduate education described above. In contrast, ratings of "average" on each reference question would give him a reference score of eighty-two; "above average" ratings would give him a reference score of 108; and "exceptional" ratings would give him a reference score of 134. Even "Unacceptable" ratings on all questions would still give John Smith a score of fifty-two, more than his total experience score.

Using this scoring system, the value of John Smith's experience, including his advanced education, becomes significantly smaller than "average" supervisory evaluations and slightly smaller than "unacceptable" evaluations. The same effect can be seen for CPA, DCPA, and DPAIC scores. The overall number produced by combining the scores from experience and reference checks dilutes the value of experience, including education. In the example above, even if John Smith's supervisor was unable to evaluate him on any of the reference questions, John Smith would still receive two or three points per question, the educational equivalent of an associate's degree or almost a bachelor's degree.

Although reference checks are an important part of the selection process, the reference questions in the DART were obtained from CBP Form 360 (Reference Check), a form designed to be used when conducting reference checks on external (non-DHS or non-federal) candidates referred for selection.¹²² The questions are designed to inquire about an external candidate's basic work ethic and integrity, not for leaders who may already possess decades of experience in positions of significant public trust and high levels of command. Although the questions could be considered relevant for USBP command position, they introduce a subjective, unmeasurable, unreliable, and disproportionate element that does not simplify the selection process.

The DART is a powerful tool intended to help officials simplify the selection process by narrowing down the list to the most qualified candidates and providing a system through which USBP leaders can be chosen. Few factors are as important for the

¹²² U.S. Customs and Border Protection, "CBP Form 360 (Reference Check)," March 2008, accessed 31 May 2015, <http://pods.cbp.dhs.gov/>.

success of an organization as the experience and preparation of its leaders. The success of the USBP depends heavily on its ability to identify and promote the most capable and educated leaders to execute its complex mission. Selecting officials do not have to choose the candidate with the highest DART score but the odds of being selected increase commensurate with DART scores. DART scores determine which candidates advance to the last part of the selection process (job interviews). Thus, the DART has a great influence on selection for command and plays a vital role for the success of the USBP.

Unfortunately, as this analysis shows, the categories and values in the DART seem to promote average or basic experience more than they promote exceptional experience or college education. By reducing the relative value of education compared to other categories, the DART undermines college education as a way to increase professional development and marketability for command positions. It provides little incentive for employees to obtain a college degree to increase their experience.

To resolve these issues, the USBP should conduct a review of the categories and experience levels currently used in the DART to ensure that the right experience is captured, valued, and graded properly. Experience levels that do little to distinguish quality candidates add clutter to the selection process, inflate scores, dilute the value of other experience, and should be removed from the DART. The DART's sterile emphasis on titles should be attenuated with categories that value and encourage real experience diversity that is of increasing relevance in today's operational environment. Of the forty-seven experience levels within the DART, thirty-eight are measured with titles, four consider the type of experience (intelligence, liaison, academy, and prior law enforcement work), and five consider education and leadership development. As DHS

moves towards a whole-of-government approach to border security, experience in joint staffs, emergency management, and multijurisdictional alliances becomes more important for USBP commanders. This experience should be captured in the DART and valued organizationally.

The DART should also reward multiple degrees to incentivize continual employee development and academic achievement. A bonus credit should be given to degrees in fields relevant to border security or in fields relevant to a specific assignment to recognize their added value. This would be particularly helpful for assignments such as foreign posts where degrees in fields such as International Relations offer added value for the applicant and for the USBP. Lastly, if reference checks are to be conducted, the questions should be replaced with questions that elicit responses with information of value to the selection process and that are more specific for each level of command or assignment. The values should also be adjusted to ensure that important experience and education are not trumped by reference checks that are subjective and often artificial.

USBP Program and Initiatives to Increase College Education

An analysis of whether the USBP should increase the minimum college education for commanders must consider the current efforts to promote college education within its ranks. This will answer the second subordinate question, and will help answer the primary question of this thesis at the conclusion of this chapter.

The USBP communicated its strong commitment to employee development and education in the 2012-2016 Strategic Plan, which seeks to strengthen the USBP by

investing in its people through advanced education.¹²³ Through an agreement with the DOD, USBP employees are given the opportunity to attend various advanced academic schools of the U.S. Army, Navy, Air Force, and Marines. These DOD academic programs usually consist of a ten-month residence where participants complete a master's degree. These graduate academic programs, which are available annually, are high quality and fully accredited. Tuition is funded by DOD, but participating agencies are responsible for room, board, and miscellaneous expenses of its employees.

In addition to the DOD service schools, USBP personnel also attend other academic programs that do not convey a graduate or an undergraduate degree to obtain advanced education in leadership and management. These programs vary in length from weeks to months, and often do not require residency.

¹²³ U.S. Border Patrol, "2012-2016 Border Patrol Strategic Plan," under Objective 2.1, accessed 15 March 2015, http://www.cbp.gov/sites/default/files/documents/bp_strategic_plan.pdf, 23.

Table 12. USBP Academic and Executive Leadership Programs (2007-2014)

PROGRAM	2007-2014 Attendance	GRADES	DEGREE GRANTED?
American University - Federal Managers Practicum	1	GS-14	N
American University - Key Executive Leadership Certificate	2	GS-14/GS-15	N
CBP Leadership Institute	31	GS-13/GS-14/GS-15	N
Center for Creative Leadership - Leadership at the Peak	1	SES	N
Center for Creative Leadership - Leadership Development Program	1	GS-15	N
Columbia University - Senior Executive Program	3	SES	N
Dwight D. Eisenhower School (Formerly Industrial College of the Armed Forces)	7	GS-14/GS-15	Y
DHS Executive Capstone Program	1	SES	N
DHS Fellows Program	5	GS-14/GS-15	N
Federal Executive Institute - Leadership for a Democratic Society	6	GS-15	N
Foreign Service Institute - National Security Executive Leadership Seminar	1	GS-15	N
George Washington University - Senior Leaders Program	12	GS-14/GS-15	N
Harvard University - Senior Executive Fellows	17	GS-15/SES	N
Harvard University - Senior Managers in Government	6	GS-15	N
National Defense University - CAPSTONE Program	5	SES	N
National Defense University - Joint Forces Staff College - Joint Advanced Warfighting School	4	GS-14	Y
National Defense University - National War College	4	GS-14	Y
Naval Postgraduate School - Executive Leadership Program	2	GS-14/GS-15	N
Naval Postgraduate School - Master's Degree Program	3	GS-13/GS-15	Y
National Security Leadership and Decision-Making Seminars	6	GS-14/GS-15	N
Partnership for Public Service - Annenbert Leadership Institute	1	GS-13	N
SES Candidate Development Program	10	GS-15	N
University of Chicago - Executive Institute	4	14-SES	N
U.S. Air Force - Air War College	2	GS-14	Y
U.S. Army Command and General Staff College - Intermediate Level Education Program	9	GS-13/GS-14	Y
U.S. Army War College	2	GS-14	Y

U.S. Coast Guard - Executive Leadership Program	1	SES	N
U.S. Marine Corps - Command and Staff Blended Seminar	1	GS-13	N
U.S. Navy - College of Naval Command and Staff	1	GS-13	Y
U.S. Navy - College of Naval Warfare	1	GS-15	Y
TOTAL	150		

Source: Joseph Harhay, USBP HQ, email message to author, 9 April 2015.

From 2007 to 2014, one hundred and fifty USBP agents have attended thirty different advanced academic programs and executive leadership programs. Of this total, thirty three graduated with advanced degrees from senior military service schools, an average of approximately four graduates per year. To attend these graduate degree programs, candidates must possess at least a bachelor's degree from an accredited institution and must meet other eligibility requirements. Attendance for all of these programs is voluntary, but eligibility for the graduate degree programs is limited to employees who are GS-14, GS-15, and exceptional GS-13 employees.¹²⁴ The minimum eligibility requirements of these graduate degree programs prevent many employees from attending. The number of seats and the resources to fund attendance are also limited, which further narrows the ability of the USBP to educate commanders and does not allow all of them to complete their graduate education.

USBP agents have other opportunities to complete their undergraduate and graduate degrees under programs designed specifically for federal employees, programs

¹²⁴ U.S. Department of Homeland Security, "Department of Defense and Senior Service Schools Factsheet," accessed 15 March 2015, <http://dhsconnect.dhs.gov/org/comp/mgmt/dhshr/emp/Documents/Dept%20of%20Defense%20Senior%20Service%20Schools%20Fact%20Sheet.pdf>.

that are communicated to all USBP employees. On 17 April 2014, OPM entered into an agreement with the University of Maryland University College for 25 percent tuition discounts for bachelor's and master's degrees for civil Federal government employees and their families.¹²⁵ On 20 April 2015, OPM announced that it also entered into an agreement with Champlain College, a regionally-accredited institution, to provide up to 70 percent discount for Federal employees and their families for tuition for online bachelor's and master's degrees.¹²⁶ The USBP communicated the availability of these programs to all employees through internal communications for widest distribution. These agreements help the USBP remove the common barrier to college education often created by high tuition costs and help the USBP promote college education.

In addition to these two discounted tuition programs, USBP also works with colleges along the southern U.S. border for programs that help agents complete their undergraduate degrees. For example, in collaboration with USBP personnel from the Yuma Sector, Arizona Western College and Northern Arizona University now offer an associate's to bachelor's degree pathway in Homeland Security tailored for CBP

¹²⁵ University of Maryland University College, "OPM and UMUC Alliance Offers Federal Employees Discounted Rates to Pursue Post-Secondary Education," accessed 15 May 2015, <http://www.umuc.edu/globalmedia/opm-umuc-alliance-fedgov.cfm>.

¹²⁶ U.S. Office of Personnel Management, "Champlain College Alliance Offers Federal Employees and their Family Members Discounted Rates to Pursue Post-Secondary Education," 20 April 2015, accessed 15 May 2015, <https://www.chcoc.gov/transmittals/TransmittalDetails.aspx?TransmittalID=6705>.

employees.¹²⁷ These accredited institutions also grant credit for certain coursework completed at the basic USBP academy, which helps students complete their undergraduate studies and become eligible for the graduate programs offered in the senior military schools.

Does the USBP promote college education within its ranks? The evidence shows that the USBP promotes college education directly through various senior service schools and indirectly through collaborative initiatives with border colleges. These programs and initiatives allow current and future USBP commanders to obtain undergraduate and graduate degrees in fields that are relevant to homeland security. USBP commanders also attend high-quality leadership training that is not accredited, but that still provides a significant educational benefit for their leadership capabilities and preparation for command.

Border Patrol Agent Classification and Occupational Standards

Title 5 of U.S. Code governs the classification of all occupations in the federal service. Title 5 requires classification of occupations based on the duties and responsibilities assigned and the qualifications required to perform the work.¹²⁸ The Office of Personnel Management (OPM) is the agency in the U.S. responsible for

¹²⁷ Arizona Western College, “Homeland Security Program at AWC,” accessed 31 May 2015, https://www.azwestern.edu/learning_services/career_and_technical_education/homeland_security_institute.html.

¹²⁸ U.S. Office of Personnel Management, “The Classifier’s Handbook,” August 1991, accessed 12 January 2015, <https://www.opm.gov/policy-data-oversight/classification-qualifications/classifying-general-schedule-positions/classifierhandbook.pdf>, 4.

managing hiring procedures for the federal government, including evaluations and classification of federal occupations and developing occupation classification standards. OPM classifies federal occupations using several classification systems, occupational groups, and occupational series. By statute, positions in the federal service generally fall into three categories: the Competitive Service, the Excepted Service, and the SES. All USBP command positions fall either within the Competitive Service or within the SES.

The Competitive Service is defined in Section 2102 of U.S. Code Title 5 (Government Organization and Employees) as “all civil service positions in the executive branch except: (a) positions which are specifically excepted from the competitive service by or under statute; (b) positions to which appointments are made by nomination for confirmation by the Senate, unless the Senate otherwise directs; and (c) positions in the SES.”¹²⁹

Competitive Service positions are filled through the appointment of individuals who have competed in examinations (written or a review of qualifications) which are open to the public at large.¹³⁰ For these positions, initial appointment must result from competition in examinations open to everyone. Open competitive examinations are administered by OPM or by agencies to which OPM has delegated the authority to rate and rank candidates based on certain objective criteria related to the vacant position.

¹²⁹ U.S. Government Publishing Office, Title 5 U.S. Code of Section 2102, “The Competitive Service,” accessed 15 January 2015, <http://www.gpo.gov/fdsys/pkg/USCODE-2011-title5/pdf/USCODE-2011-title5-partIII-subpartA-chap21-sec2102.pdf>.

¹³⁰ U.S. Department of Justice, “Human Resources Briefing Guide,” 2008, accessed 15 January 2015, <http://www.justice.gov/archive/transition/2008-transition.pdf>, 11.

Competitive Service selections must also adhere to promotion principles established in Title 5 Section 335.103 of U.S. Code, which provide that selections must be made based on merit and without regard for race, color, religion, gender, age, etc. Merit promotion principles allow an agency to select among a group of best-qualified candidates from several sources but require agencies to determine which candidate is most likely to best meet the agency mission objectives, contribute fresh ideas and viewpoints, and meet the agency's affirmative action goals.¹³¹ Competition for positions of command within the USBP must adhere to these principles and therefore require the use of objective criteria to determine which candidate is best qualified for a position.

Exceptions to the Competitive Service can be made under the Excepted Service. Whole agencies, or specific personnel positions within an agency, may be excepted from the Competitive Service by statute, regulation, or by Executive Order. Agencies with positions classified under the Excepted Service can impose additional requirements for their positions beyond those imposed by the Competitive Service. Positions can be excepted from competitive hiring due to reasons of security related to the agency's mission (e.g. Central Intelligence Agency, Defense Intelligence Agency, and Nuclear Regulatory Commission). Exceptions may also be made due to the specific requirements of the position (e.g., scientific, technical) or when it is difficult to judge a candidate's

¹³¹ U.S. Government Publishing Office, Title 5 U.S. Code of Federal Regulations Section 335.103, "Promotion and Internal Placement," Electronic Code of Federal Regulations, accessed 15 January 2015, <http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr&sid=aebca61862e022b41d5c463067e2bdff&rgn=div5&view=text&node=5:1.0.1.2.47&idno=5>.

qualifications (e.g., attorneys, chaplains, special agents, positions of a confidential nature).

In addition to the Competitive Service and the Excepted Service, positions can also be filled using the SES. The SES was established by the Civil Service Reform Act of 1978 (CSRA) to identify and select only most experienced and capable leaders with the qualifications to lead the federal government. This select group of highly competent men and women possess the skills and experience necessary to successfully lead agencies in the federal government. SES positions are excluded from the Competitive Service, and therefore use different selection criteria. SES positions are evaluated using five Executive Core Qualifications that define the competencies needed to build a federal corporate culture that drives results, serves customers, and builds successful teams and coalitions within and outside their organizations.¹³²

The Executive Core Qualifications are the primary selection criteria for USBP commanders in the SES. The five Executive Core Qualifications are leading change, leading people, results driven, business acumen, and building coalitions. While technical, job-specific qualifications are important for the SES, the essence of the SES is the ability to lead.¹³³ SES leaders in the USBP are carefully chosen and average decades of experience in positions of increasing command and responsibility.

¹³² U.S. Office of Personnel Management, “Guide to Senior Executive Service Qualifications,” September 2012, accessed 15 March 2015, http://www.opm.gov/policy-data-oversight/senior-executive-service/reference-materials/guidetosesquals_2012.pdf, 6.

¹³³ Ibid.

All USBP command positions fall within either the SES or the Competitive Service. USBP command positions in the Competitive Service are covered by the General Schedule (GS) classification system. The GS classification system is the broadest subdivision of the classification system and pay structure for white-collar work in the federal government.¹³⁴ It is covered by Title 5 and includes a range of levels of difficulty and responsibility for covered positions from grades GS-1 through GS-15.¹³⁵

An occupational group, also known as a Job Family, is a major subdivision of the GS system, embracing a group of associated or related occupations.¹³⁶ An occupational series is a subdivision of an occupational group consisting of positions whose specialized line of work and qualification requirements are similar.¹³⁷ USBP positions are classified in the Inspection, Investigation, Enforcement, and Compliance Group (Job Family) with other similar positions under occupational series number 1896.

¹³⁴ U.S. Office of Personnel Management, “Job Family Position Classification Standard for Administrative work in the Inspection, Investigation, Enforcement, and Compliance Group, 1800,” April 2011, accessed 15 March 2015, <http://www.opm.gov/policy-data-oversight/classification-qualifications/classifying-general-schedule-positions/standards/1800/1800a.pdf>, 3.

¹³⁵ U.S. Office of Personnel Management, “Introduction to the Position Classification Standards,” August 2009, accessed 1 January 2015, <http://www.opm.gov/policy-data-oversight/classification-qualifications/classifying-general-schedule-positions/positionclassificationintro.pdf>, 3.

¹³⁶ Ibid.

¹³⁷ Ibid.

1800 – INSPECTION, INVESTIGATION, ENFORCEMENT, AND COMPLIANCE GROUP			
General Inspection, Investigation, Enforcement, and Compliance Series***	1801	Agricultural Warehouse Inspection Series***	1850
Compliance Inspection and Support Series**	1802	Equal Opportunity Investigation Series***	1860
Investigative Analysis Series***	1805	Consumer Safety Inspection Series**	1862
General Investigation Series***	1810	Food Inspection Series*	1863
Criminal Investigation Series***	1811	Customs and Border Protection Interdiction Series***	1881
Air Safety Investigating Series*	1815	Import Compliance Series***	1889
Mine Safety and Health Inspection Series***	1822	Customs Entry and Liquidating Series*	1894
Aviation Safety Series*	1825	Customs and Border Protection Series***	1895
Wage and Hour Investigation Series***	1849	Border Patrol Enforcement Series***	1896
		Investigation Student Trainee Series	1899

Figure 11. Inspection, Investigation, Enforcement, and Compliance Group (1800 Series)

Source: U.S. Office of Personnel Management, “Handbook of Occupational Groups and Families,” accessed 15 March 2015, <http://www.opm.gov/policy-data-oversight/classification-qualifications/classifying-general-schedule-positions/>.

All occupations covered by the GS system have qualification standards. Qualification standards are intended to identify applicants who are likely to perform successfully on the job.¹³⁸ The requirements of the qualification standards must be met by all individuals appointed to GS positions in the competitive series.¹³⁹ Positions that are not unique to an agency, such as the Criminal Investigator Series (GS-1811), are often covered by group coverage, qualification standards that apply in conjunction with individual occupational requirements that may be imposed by an individual agency. For positions that are unique to an organization, such as the USBP agent positions (GS-1896 series), only individual occupational requirements apply.

¹³⁸ U.S. Office of Personnel Management, “Classifications and Qualifications: General Schedule Qualification Policies,” accessed 15 March 2015, <http://www.opm.gov/policy-data-oversight/classification-qualifications/general-schedule-qualification-policies/#url=Overview>.

¹³⁹ *Ibid.*

Most of the qualification standards for federal occupations allow applicants to qualify based on education, experience, or a combination of education and experience. General experience is usually required at the lower grade levels, including the entry level, where the specific knowledge and skills needed to perform the duties of a position are not a prerequisite, but where applicants must have demonstrated the ability to acquire the particular knowledge and skills.¹⁴⁰ Specialized experience is typically required after the entry level and can be met by demonstrating the specific knowledge, skills, and ability to perform successfully the duties of a position. Specialized experience is typically in or closely related to the work of the position to be filled.¹⁴¹

The Border Patrol Enforcement Series has specific individual occupational standards that each candidate must meet prior to employment at all grade levels. They include maximum entry age, bilingual ability, valid driver's license, pre-employment interview, background investigation, visual and hearing acuity, medical requirements, ability to use firearms, and other additional requirements. The standards include minimum education and experience requirements at the various USBP grade levels. The following table shows the minimum amounts of education and/or experience required to qualify for positions in the Border Patrol Enforcement Series Standard.

¹⁴⁰ Ibid.

¹⁴¹ Ibid.

Table 13. Education and Experience Requirements of U.S. Border Patrol Positions

GRADE	EDUCATION	EXPERIENCE	
		General	Specialized
GS-5	4-year course of study above high school leading to a bachelor's degree	1 year equivalent to at least GS-4	None
GS-7	1 full academic year of graduate education or law school <i>or</i> superior academic achievement	None	1 year equivalent to at least GS-5
GS-9	None	None	1 year equivalent to at least GS-7
GS-11	None	None	1 year equivalent to at least GS-9
GS-12 and above	None	None	1 year equivalent to at least next lower grade level

Source: U.S. Office of Personnel Management, “Border Patrol Enforcement Series, 1896, Individual Occupational Requirements,” accessed 15 March 2015, <https://www.opm.gov/policy-data-oversight/classification-qualifications/general-schedule-qualification-standards/1800/border-patrol-enforcement-series-1896/>.

To qualify for a GS-5 entry-level position in the USBP, candidates must possess either a four-year degree (in any field), a minimum of one-year of general experience in a position equivalent to at least the GS-4 level in the federal service, or a combination of education and general experience. General experience in the GS-4 level is very broad and can be gained in positions such as interviewer, claims adjuster, journalist, volunteer teacher, counseling in community action programs, building security guard, and customer service work.¹⁴²

¹⁴² U.S. Office of Personnel Management, “Border Patrol Enforcement Series Classification and Qualifications,” accessed 15 March 2015, <http://www.opm.gov/policy-data-oversight/classification-qualifications/general-schedule-qualification-standards/1800/border-patrol-enforcement-series-1896/>.

New USBP agents progress non-competitively to the full performance level of GS-12 and competitively up to GS-15 by meeting the minimum specialized experience requirements after entry. The specialized experience requirement is met by completing one year in the next lower grade. Education cannot be substituted for specialized experience to meet the requirements for positions above GS-7. Conversely, lack of education cannot be used to screen out candidates who meet the position requirements through specialized experience. Agents in supervisory and managerial positions may also promote to the SES level once they meet the requirements of the Executive Core Qualifications as required by OPM.

Federal law limits the ability of the USBP to impose additional education requirements on its own for any positions within its ranks without prior approval from OPM. Title 5 U.S.C. §3308 prohibits an agency from imposing education requirements for positions in the competitive service unless OPM has determined that the duties are of a scientific, technical, or professional position and cannot be performed by an individual who does not have the prescribed minimum education.¹⁴³ Therefore, USBP agents who complete one full year at one grade level are generally eligible to complete for the next grade with some exceptions. For example, as was noted earlier in this chapter, CBP Promotion Eligibility Directive 51332-022B requires BPAs to serve in a first-line, GS-13 supervisory position before they are eligible for any other GS-13 supervisory or

¹⁴³ U.S. Office of Personnel Management, “Classifications and Qualifications: General Schedule Qualification Policies.”

managerial position.¹⁴⁴ This policy also states that only second-line or higher GS-13 supervisor and managers are eligible to compete for all GS-14 positions.¹⁴⁵

Although 5 U.S.C. §3308 prevents the USBP from implementing mandatory minimum education requirements, it allows flexibility to consider education in the overall criteria for selection of candidates. OPM qualification standards can be supplemented by selective or quality ranking factors. Selective factors identify additional qualifications important for a position that candidates must possess before they can be hired.¹⁴⁶ When not met, selective factors can be used to screen out candidates. Selective factors must meet four characteristics: they must require extensive training or experience to develop; they must be essential for successful performance on the job; they are almost always geared toward a specific technical competency; and they cannot be learned on the job in a reasonable amount of time.¹⁴⁷ Spanish language is one such selective factor for USBP agents; to be eligible, candidates must possess the ability to communicate in Spanish, a skill that is taught at the USBP academy to all agents upon joining the agency. Education levels above those required by OPM for the 1896 job series cannot be used as a selective factor to screen out candidates due to the requirements of Title 5 U.S.C. §3308.

¹⁴⁴ U.S. Customs and Border Protection, “Promotion Eligibility Directive 51332-02B,” 1.

¹⁴⁵ *Ibid.*, 1.

¹⁴⁶ U.S. Office of Personnel Management, “Delegated Examining Operations Handbook: A Guide for Federal Agency Examining Offices,” May 2007, accessed 15 December 2015, http://www.opm.gov/policy-data-oversight/hiring-authorities/competitive-hiring/deo_handbook.pdf, 95.

¹⁴⁷ *Ibid.*

Quality ranking factors are competencies (i.e. knowledge, skills, and abilities) that are related but not essential to the position being filled and that are expected to enhance performance in a position.¹⁴⁸ Applicants with higher proficiency levels on a quality-ranking factor may be ranked higher and considered for selection before those with lower proficiency levels.¹⁴⁹ However, unlike selective factors, which can be used to screen out candidates, a qualified applicant cannot be rated ineligible solely for failure to possess a quality-ranking factor.¹⁵⁰ Examples of quality ranking factors include experience, level of education, and training.

Upon analysis, the requirements of Title 5 U.S.C. §3308 seem to prevent the USBP from changing the minimum college education requirements of its commanders. However, Title 5 U.S.C. §3308 does not prevent agencies from using education as a quality-ranking factor. Title 5 U.S.C. §3308 allows relevant academic courses or major fields of study to be used as evidence of the degree of proficiency in a quality ranking factor even for occupations where their use as selective factors is prohibited by Title 5 U.S.C. §3308.¹⁵¹ Although USBP agents cannot be rated ineligible and screened out

¹⁴⁸ U.S. Office of Personnel Management, “Delegated Examining Operations Handbook: A Guide for Federal Agency Examining Offices,” 97.

¹⁴⁹ Ibid.

¹⁵⁰ Ibid.

¹⁵¹ U.S. Office of Personnel Management, “Classifications and Qualifications: General Schedule Qualification Policies.”

solely for failure to possess a quality-ranking factor, applicants who possess the quality ranking factors can be ranked above those who do not.¹⁵²

This is would be particularly useful for entry-level positions where applicants may not possess the general experience necessary to demonstrate the ability to acquire the particular knowledge and skills, but it could also be of great use in the selection of personnel for positions in other ranks. Using this rule, the USBP can consider college degrees in fields that can reasonably be expected to enhance performance in a position (e.g. Spanish, Criminal Justice, MBA, JD, etc.) as a quality-ranking factor to prioritize selection of college-educated personnel without violating federal law.

Conclusion

The literature review in chapter 2 helped answer the first subordinate question. What effect, if any, does a college education have on critical aspects of the law enforcement profession, particularly on performance? Multiple studies show that college education is positively correlated with various measures of police performance, including better conduct. National trends show an increase in minimum college education requirements for law enforcement agencies, which may be due at least in part to an appreciation for the positive effect of a college education on policing.

¹⁵² Ibid.

CHAPTER 5

CONCLUSIONS AND RECOMMENDATIONS

The purpose of this research is to determine if the leadership needs of the USBP are best met with its current education requirements or if the education requirements for command positions should increase. The intent of the research is to explore the potential benefits that increasing college education requirements of USBP commanders could have on improving organizational effectiveness and organizational capabilities. The size and complexity of the USBP have changed considerably in the last two decades, and its homeland security mission has never been more critical. The success of the USBP depends on its ability to identify and select the most trained, most experienced, and best educated agents to lead in the execution of its complex mission.

The literature review in chapter 2 answered the first subordinate question of this thesis, “What effect, if any, does a college education have on critical aspects of the law enforcement profession, particularly on performance?” The empirical evidence shows that college education has a positive effect on law enforcement performance. Numerous studies indicate a positive correlation between college education and critical aspects of police performance. Although none of the studies were focused on the effects of college education on USBP personnel, they are nevertheless applicable to the USBP due to the similarities between police work and the duties of USBP agents.

Chapter 4 included an analysis of current USBP efforts to promote college education that answered the second subordinate question, “Does the USBP promote college education within its ranks?” The evidence shows that USBP promotes education within its ranks, particularly for commanders. The USBP communicated its strong

commitment to employee development and education in the 2012-2016 Strategic Plan, which seeks to strengthen the USBP by investing in its people through advanced education.¹⁵³ Consistent with its strategic plan, the USBP provides opportunities for commanders to attend advanced academic programs at accredited institutions, including senior military schools. Although the number of agents who have completed graduate education programs is small relative to the size of the force, there are factors that influence the availability of seats and personnel that are not controlled by the USBP.

Commanders also have opportunities to attend high-quality leadership training that is not accredited but that nevertheless provides significant educational benefits for their capabilities and preparation for command. In addition, the USBP promotes college education through collaborative partnerships with border colleges to create programs tailored to the needs of USBP agents. The agreements entered into by OPM with academic institutions offer up to 70 percent discounts for USBP agents to support their college education. This has been communicated to all USBP employees to promote their use. In summary, the USBP promotes and invests in graduate and undergraduate academic programs, an indication that it supports education within its ranks.

The primary question of this thesis is, “Should the USBP increase the minimum college education requirements for commanders?” The evidence provided in chapter 2 on the positive impact of college education on law enforcement performance supports the decision to increase college education requirements of USBP commanders. A college education can prepare law enforcement officers to face the challenges of the profession

¹⁵³ U.S. Border Patrol, “2012-2016 Border Patrol Strategic Plan,” 22.

more effectively. Quantitatively and qualitatively, college-educated law enforcement officers feel more confident, treat others better, and perform better on many measures of critical importance for leadership success. The USBP would benefit greatly from adopting a strategy that increases the number of college-educated personnel at all ranks and particularly at the command levels.

However, given the constraints imposed by Title 5 U.S.C. §3308, the bigger question is, how can the USBP increase the college education requirements for its commanders while adhering to the statute's requirements? The following recommendations should be considered to increase the college education levels of all USBP personnel, including sector and station commanders, without implementing mandatory minimums.

Recommendations

Increasing the current levels of college education for commanders does not require a change to current law. It also does not require the classification of any USBP positions as exempt from general occupational standards. To increase the number of college-educated commanders, as well as the overall education levels of USBP agents at all ranks and grades, the following actions are recommended.

First, education must have a higher value in the succession management process. USBP strategic documents declare the high value that the USBP places on education. For example, the USBP's 2012-2016 Strategic Plan seeks to implement succession management practices that incorporate the necessary education and work experiences to

develop employee knowledge, skills, and abilities.¹⁵⁴ The Strategic Plan also seeks to grow the pool of applicants for advanced education through an agency-wide campaign to increase awareness of available programs so that targeted placement will leverage their skills and abilities after employees complete the advanced programs.¹⁵⁵

However, these espoused values do not match those enacted in the USBP's current succession management practices. The low values given to college education in the USBP's selection process (DART) contradict the objectives of the USBP strategy, and indicate that education is hardly necessary to promote and advance professionally. The General Career Advancement Model illustrates that the importance of college education increases with the levels of command.¹⁵⁶ However, the opposite is true: the value of education in the selection process decreases as employees promote. The "standard" weights assigned to education do not standardize its value in the selection process, and even recommend a reduction in the value of education as sector and station personnel compete for staff positions at USBP HQ.¹⁵⁷

The actual value placed on education in the succession management process must match the value declared in the Strategic Plan. The USBP should consider assigning one value to education in proportion to overall experience for each position. For example, the

¹⁵⁴ U.S. Border Patrol, "2012-2016 Border Patrol Strategic Plan," 22.

¹⁵⁵ *Ibid.*, 23.

¹⁵⁶ U.S. Border Patrol, "Announcement of U.S. Border Patrol Succession Management Tools."

¹⁵⁷ U.S. Border Patrol, "DART Category Weighting--Headquarters Associate Chief Candidates"; U.S. Border Patrol, "DART Category Weighting for the Headquarters Assistant Chief 14."

value of education for first and second line supervisors could be set at a maximum of 15 percent of the overall experience score. Candidates for these positions could obtain an additional 5 percent of their overall experience score for possessing an associate's degree, 10 percent for a bachelor's degree, and 15 percent for a master's degree or higher. For station and sector commanders, these values could be 10, 15, and 20 percent.

Using this method, the value of education would remain constant in relation to experience for each level of command. These values could be set lower and incremented gradually over three to five years to reduce the impact on employees. This would give employees time to obtain the necessary levels of education on their own or through USBP programs to become competitive for advancement. Standardizing the value of education as a percentage of overall experience promotes education in a way that is fair and consistent for all grades and ranks. It would provide an incentive for increasing levels of education, and would communicate to all employees that education is valued and expected for positions of leadership and command.

Second, the criteria used to select commanders should be reevaluated to ensure they meet their intended purpose: identifying the best candidates for command positions. Experience levels that offer little value in predicting future performance and inflate scores should be removed or replaced with experience that is more relevant to today's operational environment (e.g., joint staff experience, international deployments). The values assigned to the experience levels should also consider the differences in size and complexity of stations and sectors used to assign new grades for commanders during the standardization of command structures. The value of temporary experience should be

considered only if it is within close range of the level of command of the position being filled, not as a standard operating procedure.

Current law and OPM guidance allows the USBP to consider college education as a quality ranking factor during the selection process for commanders even if a college degree is not required. The USBP could increase the levels of college education of its commanders without imposing mandatory minimums by implementing these recommendations. These recommendations would help create a cadre of commanders that are more educated and better prepared to take on the complex challenges faced by the USBP today. A more educated force is a more capable force, and the USBP would benefit greatly from implementing a system and a culture where education is valued, promoted, and pursued by all employees. Many factors can influence the effectiveness and efficiency in a professional organization, but few are as influential as its leaders. The mission assigned to the commanders of the USBP is vitally important to the security of our homeland and can only be accomplished with the best-trained and educated leaders.

GLOSSARY

Accredited Education: Education above the high school level completed in a U.S. college, university, or other educational institution that has been accredited by one of the accrediting agencies or associations recognized by the Secretary, U.S. Department of Education.¹⁵⁸

Best Qualified Candidates: Those qualified applicants who rank at or near the top when compared with other qualified candidates for the position.

General Schedule: A classification and pay system covers the majority of civilian white-collar U.S. federal employees in professional, technical, administrative, and clerical positions. GS positions range from GS-1 (lowest) to GS-15 (highest) based on the level of difficulty, responsibility, and qualifications required.

Graduate Education: Successfully completed education in a graduate program for which a bachelor's or higher degree is normally required for admission. To be creditable, such education must show evidence of progress through a set curriculum, i.e., it is part of a program leading to a master's or higher degree, and not education consisting of undergraduate and/or continuing education courses that do not lead to an advanced degree.¹⁵⁹

Journey Level: For Border Patrol Agents, journey level is the full performance level of GS-12 as evidenced in the 2010 reclassification and upgrade of the BPA positions.

Promotion: The change of an employee to a position at a higher grade level within the same job classification system and pay schedule or to a position with a higher rate of basic pay in the same or different job classification system and pay schedule.

Quality Ranking Factors: Knowledge, skills, and abilities that could be expected to enhance significantly performance in a position, but are not essential for satisfactory performance. Applicants who possess such KSA's may be ranked above those who do not, but no one may be rated ineligible solely for failure to possess such KSA's.¹⁶⁰

¹⁵⁸ U.S. Office of Personnel Management, "Explanation of Terms," accessed 15 December 2015, <https://www.opm.gov/policy-data-oversight/classification-qualifications/general-schedule-qualification-policies/#url=estb>.

¹⁵⁹ Ibid.

¹⁶⁰ Ibid.

Selective Factors: Knowledge, skills, abilities, or special qualifications that are in addition to the minimum requirements in a qualification standard, but are determined to be essential to perform the duties and responsibilities of a particular position. Applicants who do not meet a selective factor are ineligible for further consideration.¹⁶¹

Specialized Experience: Experience that has equipped the applicant with the particular knowledge, skills, and abilities to perform successfully the duties of the position and is typically in or related to the work of the position to be filled.¹⁶²

¹⁶¹ U.S. Office of Personnel Management, “Explanation of Terms.”

¹⁶² Ibid.

APPENDIX A

DART EXPERIENCE SCORING MATRIX

Experience Categories and Levels		DART Level Score	(DART Level Score) X (Standardized Category Weight) = Weighted Value Score			
Field Line (Station) Experience			CPA	DCPA	PAIC	DPAIC
Supervisory Border Patrol Agent (SBPA)	1	2	2	3	3	3
Field Operations Supervisor (FOS)	2	4	4	6	6	6
Special Operations Supervisor (SOS)	2	4	4	6	6	6
Watch Commander	3	6	6	9	9	9
Sector Staff Experience			CPA	DCPA	PAIC	DPAIC
Operations Officer	2	4	4	4	4	4
Special Operations Supervisor (SOS)	2	4	4	4	4	4
Executive Officer (XO)	3	6	6	6	6	6
Assistant Chief Patrol Agent (ACPA)	3	6	6	6	6	6
Division Chief	4	8	8	8	8	8
Command Experience (Sector or Station)			CPA	DCPA	PAIC	DPAIC
Deputy Patrol Agent in Charge (DPAIC)	3	9	9	6	6	6
Patrol Agent in Charge (PAIC)	4	12	12	8	8	8
Deputy Chief Patrol Agent (DCPA)	5	15	15	10	10	10
Chief Patrol Agent (CPA)	6	18	18	12	12	12
USBP HQ Experience			CPA	DCPA	PAIC	DPAIC
Operations Officer	1	2	2	3	2	2
Assistant Chief	2	4	4	6	4	4
Associate Chief	3	6	6	9	6	6
Deputy Directorate Chief	4	8	8	12	8	8
Directorate Chief	5	10	10	15	10	10
Temporary (Acting) Experience			CPA	DCPA	PAIC	DPAIC
Supervisory Border Patrol Agent (SBPA)	1	1	1	2	2	2
Field Operations Supervisor (FOS)	1	1	1	2	2	2
Watch Commander	1	1	1	2	2	2
Operations Officer (Sector)	1	1	1	2	2	2
Special Operations Supervisor (SOS)	1	1	1	2	2	2
Deputy Patrol Agent in Charge (DPAIC)	2	2	2	4	4	4
Patrol Agent in Charge (PAIC)	2	2	2	4	4	4
Assistant Chief Patrol Agent (ACPA)	2	2	2	4	4	4
Executive Officer (XO)	2	2	2	4	4	4
Division Chief	2	2	2	4	4	4
Deputy Chief Patrol Agent	3	3	3	6	6	6
Chief Patrol Agent	3	3	3	6	6	6
Operations Officer (HQ)	1	1	1	2	2	2
Assistant Chief (HQ)	2	2	2	4	4	4
Associate Chief (HQ)	2	2	2	4	4	4
Deputy Directorate Chief (HQ)	3	3	3	6	6	6
Directorate Chief (HQ)	3	3	3	6	6	6
Assignment Diversity			CPA	DCPA	PAIC	DPAIC
Single Sector	1	2	2	2	2	2

Experience Categories and Levels	DART Level Score	(DART Level Score) X (Standardized Category Weight) = Weighted Value Score			
Multiple Sectors	2	4	4	4	4
Multiple Borders	3	6	6	6	6
Intelligence Experience	1	1	1	1	1
USBP Academy Experience	1	1	1	1	1
Liaison Experience	1	2	2	1	1
Leadership Programs Attended	1	1	1	3	2
Education Experience		CPA	DCPA	PAIC	DPAIC
Associates Degree	1	2	2	2	2
Bachelor's Degree	2	4	4	4	4
Master's Degree	3	6	6	6	6
Doctoral Degree	4	8	8	8	8
Previous Law Enforcement Exp.	1	1	1	1	1

Source: U.S. Border Patrol, “DART Category Weighting for CPA and DPAIC,” 29 December 2014; “DART Category Weighting for DCPA and PAIC,” 26 November 2014, accessed 15 March, Sandra Mollfulleda, USBP HQ, e-mail message to author, 13 April 2015.

APPENDIX B

DART REFERENCE CHECK SCORING MATRIX

REFERENCE CHECK	LEVEL SCORE	CPA	DCPA	PAIC	DPAIC
Q1. Punctuality and Reliability					
1= Unable to Evaluate	1	3	3	3	3
2= Below Average/Unacceptable	2	6	6	6	6
3= Average	3	9	9	9	9
4= Above Average	4	12	12	12	12
5= Exceptional	5	15	15	15	15
Q2. Willingness to Make Decisions					
1= Unable to Evaluate	1	3	3	3	3
2= Below Average/Unacceptable	2	6	6	6	6
3= Average	3	9	9	9	9
4= Above Average	4	12	12	12	12
5= Exceptional	5	15	15	15	15
Q3. Ability to Work With Others					
1= Unable to Evaluate	1	3	3	2	2
2= Below Average/Unacceptable	2	6	6	4	4
3= Average	3	9	9	6	6
4= Above Average	4	12	12	8	8
5= Exceptional	5	15	15	10	10
Q4. Ability to Work Independently					
1= Unable to Evaluate	1	2	2	2	2
2= Below Average/Unacceptable	2	4	4	4	4
3= Average	3	6	6	6	6
4= Above Average	4	8	8	8	8
5= Exceptional	5	10	10	10	10
Q5. Ability to Take Initiative and Be Motivated					
1= Unable to Evaluate	1	3	3	3	2
2= Below Average/Unacceptable	2	6	6	6	4
3= Average	3	9	9	9	6
4= Above Average	4	12	12	12	8
5= Exceptional	5	15	15	15	10
Q6. Ability to Lead Others					
1= Unable to Evaluate	1	3	3	3	3
2= Below Average/Unacceptable	2	6	6	6	6
3= Average	3	9	9	9	9
4= Above Average	4	12	12	12	12
5= Exceptional	5	15	15	15	15
Q7. Ability to Manage Resources					
1= Unable to Evaluate	1	2	2	2	2
2= Below Average/Unacceptable	2	4	4	4	4
3= Average	3	6	6	6	6

REFERENCE CHECK	LEVEL SCORE	CPA	DCPA	PAIC	DPAIC
4= Above Average	4	8	8	8	8
5= Exceptional	5	10	10	10	10
Q8. Ability to Think Strategically					
1= Unable to Evaluate	1	2	2	3	2
2= Below Average/Unacceptable	2	4	4	6	4
3= Average	3	6	6	9	6
4= Above Average	4	8	8	12	8
5= Exceptional	5	10	10	15	10
Q9. Ability to Negotiate Effectively					
1= Unable to Evaluate	1	2	2	2	2
2= Below Average/Unacceptable	2	4	4	4	4
3= Average	3	6	6	6	6
4= Above Average	4	8	8	8	8
5= Exceptional	5	10	10	10	10
Q10. Ability to Promote Innovation and Change					
1= Unable to Evaluate	1	2	2	3	2
2= Below Average/Unacceptable	2	4	4	6	4
3= Average	3	6	6	9	6
4= Above Average	4	8	8	12	8
5= Exceptional	5	10	10	15	10
Q11. Any attendance or leave problems?					
YES	0	0	0	0	0
NO	1	1	1	1	1
Q12. Any honesty or integrity issues?					
YES	0	0	0	0	0
NO	1	1	1	1	1
Q13. Issues that may prevent a background investigation?					
YES	0	0	0	0	0
NO	1	1	1	1	1
Q14. Any reason why you would not re-hire candidate?					
YES	0	0	0	0	0
NO	1	1	1	1	1

Source: U.S. Border Patrol, “DART Category Weighting for CPA and DPAIC,” 29 December 2014; “DART Category Weighting for DCPA and PAIC,” 26 November 2014, Sandra Mollfullada, USBP HQ, e-mail message to author, 13 April 2015.

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